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ABSTRACT

This resource book reflects the assumptions, structure, and insights of the American Council on Education's Project on Leadership and Institutional Transformation, a 6-year study that involved 26 institutions involved in comprehensive change. The first section of the primer, "Creating the Context," focuses on key issues that form the backdrop for any change initiative: institutional characteristics that influence the change process; procedural issues; and aspects of institutional culture. Section 2 focuses on the strategies and structures that facilitate action. The third section provides an organizing framework for understanding the extent to which institutions are making progress and the evidence they have of their progress. An epilogue discusses the ways in which the experiences of the institutions participating in this project show that "change changes." Their experiences also show how fluid, and often how idiosyncratic, the change process is. Whether looking for language to make a case, actions to take, or pitfalls to avoid, any institution that want to undertake change can find something of value in this primer. An annotated list of 17 resources is attached. (Contains 24 references.) (SLD)

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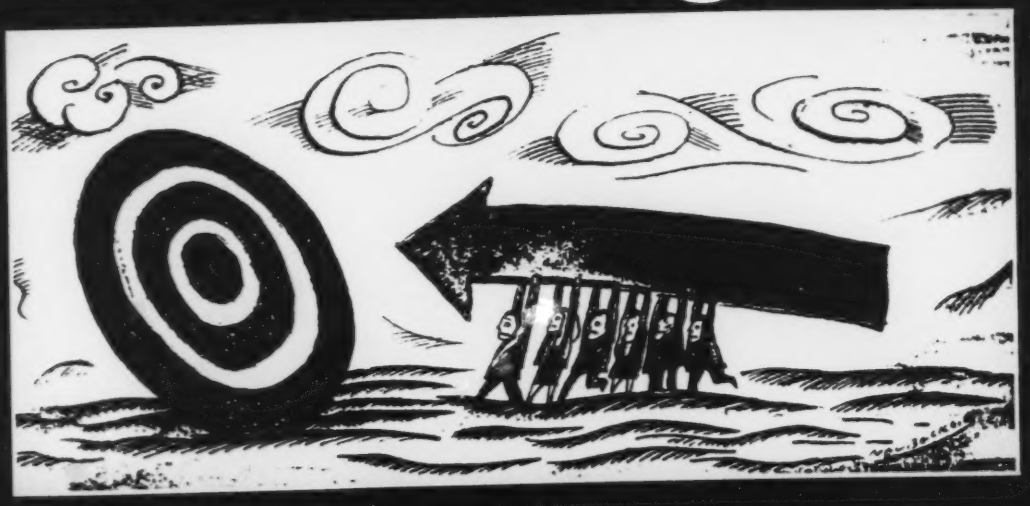

Taking Charge of Change: A Primer for Colleges and Universities

An Occasional Paper Series of the ACE Project on Leadership and Institutional Transformation

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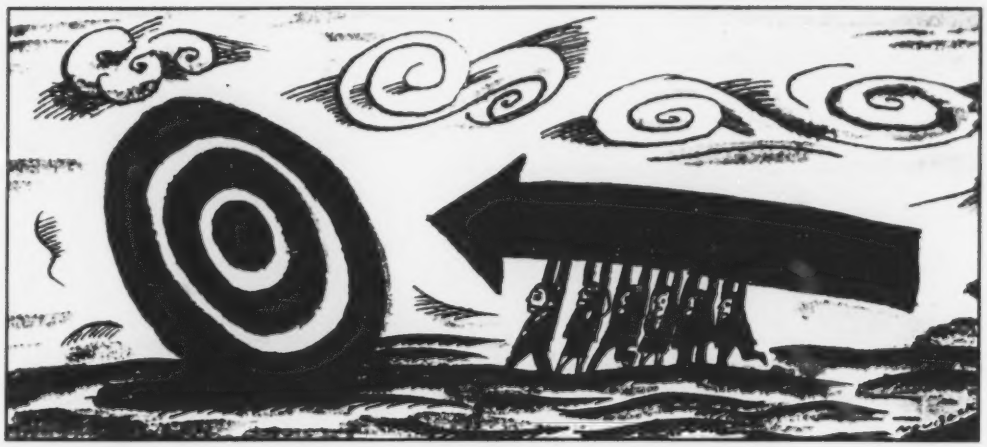

Taking Charge of Change: A Primer for Colleges and Universities

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ACE would like to thank the W. K. Kellogg Foundation for its steadfast support of this project and for its commitment to strengthening higher education. ACE would also like to recognize the 26 institutions that participated in the ACE Project on Leadership and Institutional Transformation. Their efforts and participation provide the foundation for this guidebook.

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FOREWORD
How to Use this Primer

The journey of institutional change is challenging and complicated, as any veteran of the process will affirm. Those who have undertaken the journey often find that the difficulty in accomplishing change–and, frequently, the reason it fails–is not because of a lack of either vision or good ideas about what to do, but rather because the change *process* is often hard to comprehend and manage. The substantive set of issues an institution is working on and the goals it seeks to achieve are only two parts of the puzzle. A key piece is the process.

Most of the time, institutional leaders are thinking about *what* to do, rather than *how* to do it. Strategy and process are afterthoughts, and too often are simply ignored. How often do we hear about a well-conceived campus initiative that failed because of a process that did not take into account a particular group, or because it ignored the widespread fear that the change engendered? At the end of the day, the personal, political, and cultural aspects of change–the process–will make or break a change initiative.

The importance of process formed the framework for the ACE Project on Leadership and Institutional Transformation, which led to the publication of this resource book. This six-year initiative, funded by the W.K. Kellogg Foundation, involved 26 institutions that were taking comprehensive change seriously; each crafted its own change agenda and developed a strategic framework for action. The underlying assumption of the project was that each institution determines its agenda for change in response to a variety of external and internal contextual factors, examines the reasons for change (the "why"), crafts the substance of the agenda (the "what"), and designs the process (the "how," which includes the "who"). We assumed that institutions must pay careful attention to all of these elements and consider them as inextricably related in creating change.

The project's goals were to support the institutions and their leaders as they undertook change and to provide useful tools, concepts, and a vocabulary that could be adapted to suit their needs. We assumed that these institutions would be working on improving institutional quality whether or not they were participating in the project, and that the connections to ACE and the other institutions, as well as the assistance provided, could add value to their efforts. The role of the project, then, was to prod, advise, and provide different perspectives and additional tools. Recognizing that each institutional journey would be different, the project provided opportunities for the participating institutions to reflect on their change processes by providing discussion papers, posing questions, facilitating campus-wide dis ussi n, and linking the campuses to each other to promote mutual learning. This book reflects the assumptions, structure, and insights of the project. Readers will see references to project lessons and the experiences of the 26 institutions. The examples throughout this book are taken from some of the institutions, and the quotations come directly from project updates and reports submitted by institutional leaders.

Intentionality and thoughtfulness should be the hallmarks of change in the academy. Because higher education is a complex endeavor, the project avoided any approach that reduced a complex set of ideas, values, and processes to a simplified set of instructions–a "Seven-Step

Program" for colleges and universities to follow in pursuing change. We recognized that academic skepticism coexists uneasily with a very human wish for easy answers and clear-cut paths. As thoughtful, rational, and highly intelligent people, academics are problem solvers. Those who choose careers in academe, whether as faculty or staff, do so because they value the world of ideas and learning. Thus, it is entirely possible for academics to inhabit a gray zone of contradictory tendencies, rejecting approaches that appear prescriptive, reductive, or shallow, while at the same time seeking rational and tidy action plans. This paradox formed a powerful, if often disconcerting, subtext to the ACE project.

Like the project from which this publication emanated, this book offers no formulas, no recipes, and no one-size-fits-all answers. Rather, it is a compilation of resources for academic leaders who have embarked on the path of institutional change. Resource books are rarely read cover to cover; they are meant to be used according to the needs and interests of the reader. Although this book follows a logical sequence, different institutions may want to use it in different ways.

This book can be used by individual leaders to begin to gather ideas and craft strategies, or by leadership teams to move a change initiative forward. Leadership teams will bring a richness of multiple perspectives and ideas to this book that individuals cannot. Through discussion and debate, teams can decide which ideas and suggestions are most useful and how they can be adapted to their particular environment. Because readers of this book are working on different issues and defining different goals for improvement and change, the questions and suggested activities are broadly written. Users will need to specify the particular issue or change initiative (the "what" of change) as they consider the underlying issues (the "why" of change) and the process (the "how" of change). We recognize that the unit of change will vary from one institution to another. Some users of this book may be a campus-wide work group, others a school or department task force. The reader's task is to adapt this resource book to individual needs and circumstances.

This book aims to help higher education leaders–at all levels and in all parts of an institution–to understand the complexities of change and find practical tools to get things done. We hope that it will be used not only by individual leaders, but also by the leadership teams that are so central to achieving positive institutional change.

Madeleine Green
Vice President and Project Director
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SECTION I
Creating the Context

The first section of this primer focuses on key issues that form the backdrop for any change initiative: characteristics of colleges and universities that influence the change process, procedural issues that continually arise over the course of a change effort, and the specific aspects of institutional culture that will affect the change process. Campus leaders can use these materials to set the stage for intentional change.

The first chapter outlines the context, exploring from two perspectives the challenges of change in higher education. First, it considers the possibilities and constraints caused by the structures of academic organizations. Second, it describes the human elements involved in changing an organization. The chapter concludes with a discussion of the values of higher education and their impact on the change process.

Chapter 2 highlights three central and recurring issues related to changing a college or university. Stated as questions, they are: Why does this institution need to change? How much change is needed? Who will be involved and how? Our work with the 26 institutions involved in the ACE project demonstrates the importance of these questions, as well as the need to address them continually. Throughout the chapter are questions to guide the leadership team in discussing, analyzing, and clarifying the issues.

Chapter 3 introduces and examines the concept of institutional culture, which plays a dual role in institutional change. Culture can be affected or altered by the change (a changed culture is an outcome), and it can also influence the change process (culture is an input that shapes strategies). This chapter aims to help readers refine their understanding of their institution's culture so that change efforts can be more sophisticated in dealing with the complex challenges culture presents.

Chapter 1
Understanding the Change Process

Every campus leader knows that effecting change in a college or university is an art, not a science. Complexities arise from the traditions and history of the institution, external and internal pressures, competing constituencies, the loose connections among units, and pressing questions with no immediately clear answers.

Institutions struggle with two different issues related to change. The first issue concerns where the change has originated, whether by the institution's positional leaders, a small innovative group of campus stakeholders, or some combination of the two. Change directed from the top generally happens more quickly than that which percolates up from the bottom, but there are costs. Top-down change often sacrifices the benefits of wide participation, and achieving ownership may be problematic.

The second issue, which arises after a change initiative is identified, concerns who is involved and how. Change that comes from a group may elicit broader support because it takes place after wide-ranging participation by those affected. These kinds of complexity make change in higher education an exciting, unpredictable, and difficult undertaking.

This chapter has two purposes. First, it explores higher education's structure and the characteristics of that structure that serve to complicate change efforts and challenge campus leaders. It also describes the human responses common in the higher education environment. Second, it explores several core values that, taken together, necessitate a unique approach to change in higher education.

The Challenge of Change in Higher Education

Like many, if not most, social organizations and systems, colleges and universities are change-averse. However, they have some particular attributes that make the change process different from that in other types of organizations. Patterns of decision making, the established roles of leaders, and the values that have persisted in the academy over many centuries make colleges and universities distinct. These characteristics are rooted in higher education's history, culture, traditions, and structures, and transcend the particular issues at hand or the characteristics of any single institution or even national context. It is important for institutional leaders to be aware of these common characteristics and to take them into account as they proceed.

Autonomy and independence complicate the change process.

While subject to a whole range of comprehensive policies and processes that affect all units (academic regulations, personnel policies, calendars, budget processes, grading systems, graduation requirements, etc.), colleges and universities conduct many activities that are under more local control.

Academic departments, administrative units, and different offices of colleges and universities sometimes operate independently of one another. Because of this fact,

institutions of higher education have been labeled "loosely coupled" organizations (Weick, 1982). For example, the recruitment activities of the admissions office may only loosely connect with the life of the faculty in the biology department; the agenda of the continuing education division is rarely linked to alumni activities or athletics; and faculty in sociology and social work may unite only through a common grading system. In some institutions, schools are autonomous units with their own budgets, policies, and even fund raisers.

The nature of change in loosely coupled organizations is different from change in more hierarchical or tightly coupled systems, in which units have a direct impact on one another: Any type of change is more likely to be small, improvisational, accommodating, and local, rather than large, planned, and organization-wide (Weick, 1982). Change in higher education is generally incremental and uneven because a change in one area may not affect a second area, and it may affect a third area only after significant time has passed. If institutional leaders want to achieve comprehensive, widespread change, they must create strategies to compensate for this decentralization.

Decision making is diffused.

A related influence on how an institution changes is the diffusion of its academic decision making. While some decisions are made centrally in the administration, some occur peripherally in the academic departments (Kennedy, 1994). Because of the loose connections among the academic departments and between departments on the periphery and the administration in the center, departments may not rely on each other or the administration for direction or support. Individual units may not be familiar with each other, and thus may not be practiced in the coordinated, collaborative work that is needed for comprehensive change. In spite of multiple and sometimes conflicting priorities, institutions can be steered collectively by employing a number of strategies.

Effects are difficult to attribute to causes.

Colleges and universities are "untidy" organizations that operate on the basis of "delayed, confounded feedback," making it difficult to associate causes with effects (Weick, 1983, p. 17). The outcomes of many actions are known only after a significant lapse of time and only after other events have occurred that "explain" the actual outcomes (Birnbaum, 1988). For example, the impact of specific teaching methods or curricular changes may be clear only after some time, and the measures most likely will be indirect, such as graduate test scores or successes in the job market.

Because higher education institutions are complex and untidy, linking specific outcomes with specific actions is rarely possible. This delayed and confounded feedback has at

Strategies for Countering Incoherence and Fragmentation

The following are steps leaders can take to respond to the diffused decision-making processes in higher education.

- Form work groups composed of people from different parts of the institution to address strategy issues.
- Engage stakeholders in campus-wide discussions of priorities.
- Consciously develop a shared language of terms, information, and examples.
- Share data widely to create an agreed-upon basis for decision making.
- Have leaders send consistent messages.
- Use rewards and resource allocations consistently across units, according to stated priorities.
- Develop forums, projects, and interest groups that cut across boundaries of administrative areas, schools, and departments.

Understanding Institutional Patterns of Decision Making

1. How "loosely-coupled" is this institution? Give examples.
2. What decisions are made centrally? Which ones are made in decentralized ways?
3. How does the pattern of diffused decision making facilitate change efforts? How does it impede efforts?
4. Are there ways to improve the balance of centralized and decentralized decision making, either through shifting the locus or through better coordination?
5. List possible strategies the institution might use to develop shared goals, common visions, and coherent institutional movement. What has worked in the past? What has not worked?

least three implications for change. First, change leaders may not know where to focus their attention or what to change because the potential outcomes of actions may be unclear. Second, because the actual causes of the outcomes may have come from any number of sources, change leaders may hesitate to alter anything, because they may be tampering with a component that is responsible for a different and unconnected, but desired outcome (Weick, 1983). Third, they may take action with the hope of altering one process and be dismayed when something unintentional occurs instead.

The Human Dimensions of Change

Colleges and universities are especially sensitive to the human responses to change because faculty, staff, and students are so personally committed to these institutions. Faculty often spend their professional lives working in one or two institutions, and decades of association with the same campus and colleagues lead to high levels of comfort and familiarity. To effect comprehensive change, campuses must understand and respond sympathetically to the human complexities exposed during a change process.

While often exciting, change may provoke fear and anxiety.

This simple statement masks great complexity, for it deals with the unpredictable reactions of human beings to new situations. Fear can be a major issue for people whose professional and personal lives may be altered by change. They may fear ambiguity or the unknown future; they may fear that they will be incompetent or that their skills and knowledge will not be valued in the changed organization. Because they see the world differently from those who are trying to initiate and implement change, they may have a different assessment of the worthiness of a particular change (Kotter and Schlessinger, 1979). They may be genuinely convinced that the change is ill conceived or frivolous, or that it represents no improvement over the present. An important role of leadership is to help the organization regulate and manage the anxiety that surrounds the change (Heifetz, 1994).

Change threatens the "have-mores."

Most writers who focus on resistance to change tend to center on followers and their opposition to change, but this is only one group who may potentially resist change. The other group is the "have-mores" (O'Toole, 1995)–those who benefit from the status quo. These resisters may be either faculty or administrators who occupy formal or informal leadership positions, or individuals whose comfort and prestige are supported by the current system. One challenge of institutional change–and an explanation for resistance to change–may be that the proposed change initiatives are working to alter a system and a status quo in which the "have-mores" are deeply invested (O'Toole, 1995). Thus, such resisters may "come out of

nowhere" to derail the change efforts at unexpected times. But when the "have-mores" are in influential positions, other possible change leaders may be marginalized, and any change that does occur will be likely to preserve that part of the status quo cherished by the "have-mores."

The larger picture may not be well understood, making a focus on the future difficult. While intentional change requires sustained attention, those who work in higher education are very busy–intensively engaged with their own work and with the present. Faculty are teaching and conducting research, administrators are developing programs and creating budgets, and students are engaged with coursework, jobs, friends, and family. Undertaking institutional change forces attention away from current activities and onto something different–the proposed changes and a different future. Because people need to move beyond the perspective of their individual endeavors to see the larger picture, change may be an unfamiliar and uncomfortable experience for many.

This difficulty is exacerbated when institutions are under a great deal of stress. Chronic or very severe budget cuts, political battles, and the ordinary and extraordinary flow of events make it difficult to find the time and energy needed to focus on strategic issues. The change process forces people to step out of the flow of daily life, take notice of their activities, and articulate their priorities (Weick, 1995). This stress may be amplified by the additional demands of participating in the change initiative.

The parochial nature of departments and disciplines and the specialization of faculty and staff also make it difficult to see the larger picture. As institutions grow in size and become more differentiated and specialized, the ability to see and understand the enterprise as a whole becomes increasingly limited. "The discipline rather than the institution [becomes] the dominant force in the working lives of academics" (Clark, 1983, p. 31). Most faculty are involved in small units where they feel an affinity and are able to make and influence decisions (Birnbaum, 1988). Because discipline-based departments and programs are the point of involvement for most faculty, they are not accustomed to being institutional citizens–aware of the larger picture and, consequently, responsible for decisions that impact the institution as a whole.

Managing Fear and Anxiety

The following strategies can help manage fear associated with institutional change.

- Reduce the stress of change by providing clear reasons for it, by outlining the direction of the change, by framing the debate, and by offering feedback (Heifetz, 1994).
- Encourage discussion and reflection of the change through town meetings, discussion groups, seminars, and listserv conversations.
- Moderate the pace of change so that people have time to understand it and to incorporate it into their thinking and their actions, and to be less overwhelmed by the prospect of doing things a different way.
- Support change by providing the training needed by people to do things differently and to feel competent in the new environment.
- For people who experience change as loss, an important component of transition to a new way of doing things is the ritual of mourning (Bolman and Deal, 1991). Leaders should encourage people to acknowledge their loss openly so they can constructively move into the future.
- Reframe the change so it highlights opportunities that stakeholders—such as faculty, staff, students, alumni, legislators, boards, and parents—might view as beneficial.

The Impact of Higher Education's Core Values on Change

While change in higher education bears some similarities to change in other kinds of

Assessing the Human Dimension

1. Who might be most likely to fear the proposed change? Why? What steps can be taken to alleviate their fear?
2. How do different people or groups view the change initiative? Are these differences significant? How important is it for the institution to deal with them directly? How might this be done?
3. Who are the institutional "have-mores"? Why might they resist change? What might they have to lose? How might their support be gained?
4. What steps can the change leader take to expand peoples' spheres of awareness and responsibility beyond the concerns of their own units?

organizations, the experiences informing this primer suggest that colleges and universities need a different model of change. Given the structure and organization of higher education institutions and the centrality of academic values and purposes of teaching, research, and service, it is not surprising that corporate models of change do not easily adapt to renewal efforts at colleges and universities. For example, "buying in" to someone else's decision or vision in a corporate setting is a profoundly different dynamic from doing so in the context of shared decision making in a decentralized, values-driven, and historically aware organization. To be successful in a change initiative, campus leaders must be sensitive to these distinctive elements and respond to them in intentional and reflective ways.

Change begins with an exploration of why a particular change is necessary or important.

Although colleges and universities have undergone significant change and adaptation over time, they are skeptical about change for the sake of change. This reluctance to rush to change has a positive side. It accounts for much of the stability of higher education. Thus, a thorough exploration of why a change is important and how it contributes to continuing excellence is a vital first step in the process.

That exploration begins with a set of questions rather than with answers. What is the problem? How might the institution be improved? In what ways will students benefit? Other stakeholders? Is the change necessary to the institution's survival? Well-being? Competitiveness?

Unless the stakeholders really believe that the status quo is unsatisfactory and that change is necessary and beneficial, the process may be doomed from the very beginning. If it does point the way to a stronger institution and to a more exciting place for faculty, staff, and students, that conviction will create a collective will to act.

The change is anchored in the institution's mission and values.

Changes that are not a good "fit" with the institution's mission and values are likely not to succeed. For example, why would the faculty of a residential liberal arts college want to develop graduate programs on the Internet? Does intensifying research activities make sense in an institution whose primary mission is serving adult, part-time, undergraduate students?

Similarly, the change process must take into account the academic values articulated by members of the academic community. People who choose to spend their professional careers in academic institutions care deeply about the life of the mind and about educating students–and are less likely to feel marginalized, misunderstood, or diminished by a process that respects the institutional traditions and values.

Stakeholders participate in developing and implementing the agenda for change.

Participatory decision making is an integral part of academic life. Although participation

can slow the decision-making process, a change effort will generally be more successful if many people with different perspectives contribute to its formulation and implementation. For example, improved learning will occur because of the experience and insights that faculty, administrators, students, student affairs staff, learning specialists, and many others bring to this complex issue. No single individual or group has the breadth or the wisdom to formulate a comprehensive change. But more importantly, if people involved in formulating the change feel ownership, they are more likely to be willing participants in the process.

A potential risk associated with broad participation is that the change agenda will become a weak compromise of interested parties. Negotiations and political tradeoffs may give everyone a little but not add up to much. However, setting a limit on participation has real costs and risks; it may cause the change effort to be embraced only by a minority, which, in turn, may cause its demise.

To the extent possible, the agenda for change is supported by a critical mass of campus stakeholders.

Even an inclusive process will not guarantee that all the faculty, staff, and students will embrace the change enthusiastically. Nor is such a goal necessary. But if a change is to be pervasive, it must be embraced by many, not few, stakeholders. The process may start with a small group, then expand its reach though dialogue and involvement, and ultimately influence a critical mass of stakeholders. Acceptance of change cannot be commanded or legislated; significant numbers of people must be persuaded that the change is necessary and ultimately beneficial, because they will be the ones to make it happen.

Preparing for Change

1. Why does this institution need to undergo this change?
2. What will happen if it does not?
3. In what ways does this proposed change fit with the institution's mission and values? How might it conflict?
4. How might the current conditions affect the willingness of faculty, staff, students, and others to engage in the change process?
5. Does the proposed change improve a core function of the institution? In what ways will it improve teaching and learning, service, or research functions?
6. What are the possible costs or risks?
7. How can the institution encourage a level of trust that will increase the likelihood of constructive dialogue?

Leaders lead by persuasion, through other leaders, and by building trust.

As mentioned, one of the most distinctive features of the academy is its dispersed decision-making process and the resulting impact on leadership. Because colleges and universities are more like networks than hierarchies, powerful leadership is not restricted to "the top." Influential faculty members with no official power may be more important to changing the curriculum than the president. A major change, such as incorporating technology into teaching, requires champions from many quarters–faculty, information technology staff, department chairs, deans–none of whom can create widespread change alone.

While one can envision campus "leaders," "constituents," and "stakeholders," it is difficult to imagine campus "followers." Some effective leaders often do not have positional titles or formal authority, and they may have few "subordinates" and little influence over areas of the institution beyond their own. These campus "leaders" lead by persuasion. They can set standards, but they often cannot provide incentives and rewards.

On the other hand, positional campus leaders can create a climate that is conducive to certain behaviors, but they cannot command or legislate good teaching or civil discourse on campus. Comprehensive change needs both kinds of leaders.

Because power is dispersed and leadership shared, trust is an essential underpinning of change in higher education. In the absence of trust, stakeholders will focus on preserving rights and privileges rather than taking risks to create a future with the common good in mind. Distrust feeds unhealthy personal and professional relationships and creates dysfunctional organizations. Unaddressed, the destructive powers of distrust are boundless.

Conclusion: Preparing for Institutional Change

Effecting institutional change, as this chapter suggests, is not something accomplished by sheer will. Rather, leaders must be intentional and reflective, develop strategies, and work within the norms and structures of the academy. The questions in the box on page 8 might help leaders think more deeply about what they are setting out to do.

Chapter 2
Addressing the Big Issues

Any change initiative raises a set of fundamental questions that will resurface throughout the process. These questions are not always explicit, but that makes continually addressing them all the more important because answering them throughout the process will allow the initiative to evolve in a healthy, productive way.

Why does this institution need to change? The reasons for and sources of pressure for change are not always apparent to members of the campus community. Change leaders need to make clear assessments of their environments so that they can articulate why they are doing what they are doing. Intentional change should be reasonably linked to improvement.

How much change should be made? It is important to think about the end result of the change initiative throughout the change process. How much change is necessary, possible, and expected?

Who will be involved and how? Change leaders must consider which campus constituents will be involved in the initiative at various stages and the means by which those individuals and groups will be engaged.

The answers to these questions are important because different campus groups have varied interpretations of "what's going on." Presidents and faculty are frequently attuned to different environments and, thus, feel different pressures and see different opportunities. Where some will see a never-ending crisis, others will see only a temporary problem, and still others will see no problem at all. The same is true for opportunities; one person's opportunity is another person's crisis. Therefore, the task of considering and answering the questions "why do we need to change?," "how much change should be made?," and "who will be involved and how?" are ongoing and vital parts of a successful change agenda. Although these questions may not be asked with the same intensity or explicitness all the time, they must be continually considered.

Why Does this Institution Need to Change?

Leaders in colleges and universities typically are aware of the pressures and demands their institutions face, and they must make judgment calls on which ones require immediate attention and which ones can be deferred. At the same time, these leaders recognize the importance of the academic traditions, histories, and structures that make the institution successful. Therefore, leaders face a paradox: how to articulate clearly the external and internal pressures that propel a change initiative, while not altering (or even challenging) the characteristics that make the institution successful. Increasingly, these pressures are national and global, but many come from within the academy, too.

The line between external and internal pressure is frequently blurred, and the two are often synergistic–an external pressure can be converted it into an internal desire. Creating positive energy to undertake change is entirely different from reacting to

mandates or pressure. Developing and tapping into that positive energy are challenges of intentional change. Leaders play the important role of framing external demands and challenges, articulating their impacts, and translating them into meaningful institutional terms. As long as a pressure for change becomes "owned" inside the institution, its origin is unimportant.

Understanding the environment: calm or turbulent waters?

Some answers to the question "why does this institution need to change?" come from the external environment. Are forces acting upon the institution that compel it to change? Do pressures from boards (who serve to link the campus with its external environment), legislators, competitors, markets, or donors require action? Institutions differ in the amount of pressure they experience. To illustrate this range, we can think of institutions as boats in different bodies of water: calm waters, currents, rapids, and at the edge of the waterfall.

- *Calm waters* suggest considerable environmental stability. Institutions have adequate resources. Their graduates, services, and research are in consistent demand. Their environment presents issues requiring only moderate responsiveness. They feel little pressure to change.
- *Currents* are more dynamic environments composed of minor pressures (e.g., modest changes in areas such as finances, enrollment, or academic programs). Institutions experiencing currents do not perceive a great need for change, because external threats are minimal and opportunities do not have a quickly realized pay-off. They have the luxury of charting their course.

Taking Stock: What Are the Pressures for Change?

Which of these forces are exerting pressure on the institution? What are the implications of their presence, absence, or level of intensity?

External Pressures

- The pressure for cost containment and affordability.
- Public demands for educational and financial accountability.
- Increased demands for educational quality and excellent teaching, with their implications for promotion and tenure policies and practices, teaching loads, faculty productivity, and curriculum.
- The growth of alternative models of post-secondary education delivery—including distance education, corporate universities, and transnational delivery.
- The explosion and globalization of knowledge produced both inside and outside the academy.
- The need to serve an increasingly diverse society.
- The pervasive impact of technology on all areas of higher education.

Internal Pressures

- Calls for curriculum reform by faculty and students.
- Student pressures for more attentive "customer service" in the classroom, as well as academic support and social services.
- Increased expectations and demands of adult learners and nontraditional students for access, affordability, and convenience in higher education.
- Changes in the terms and conditions of faculty employment, including the aging of the professoriate, alternate appointment policies, and increased use of part-time and adjunct faculty.
- Higher levels of computer literacy by students.

- *Rapids* represent a constantly changing and unstable environment. Hazards are more apparent, if not completely seen. There are many competing pressures to which an institution must attend, and changes are frequent and fast. One change takes place simultaneously with clusters of other related and unrelated changes.
- *Edge of the waterfall* is a catastrophic environment. One or more critical dimensions take a "sharp turn"(e.g., steep declines in enrollment, escalating internal demands for program or policy changes, severe budget cuts, mandated changes in structures or policies, or critical changes to the economy, such as the relocation of a local industry), creating the need for immediate and far-reaching action. One administrator described his situation as "trying to change the tire on a car traveling at 60 miles per hour down a mountain highway."

Creating awareness and energy for change. After assessing the external environment, institutional leaders must develop both an awareness of the need to act and the internal energy for action. The ease of this task may depend upon how fast the waters are. A roaring waterfall usually provides ample motivation. Faculty and administrators will generally concur that "something has to be done; we have no choice."

At the other extreme, the absence of external pressure is usually perceived as a blessing, but it can breed complacency. Change leaders on these campuses, therefore, will have to choose strategies to raise awareness and convince people that the change is necessary.

At all institutions–but especially those in calm waters–skeptics will question whether the institution is undertaking change merely for the sake of change. Institutional inertia–created either by comfort with the status quo or by lack of awareness of the opportunities or pressures–is a familiar obstacle to change.

Assessing the Climate for Change

1. In what type of water is this institution? Calm, currents, rapids, or waterfall? What evidence supports this judgment? To what extent is this perception shared across campus?
2. What sources of pressure are the greatest? Where do they originate?
3. How much internal desire and positive energy for change exist? Why? What are the implications for proceeding?
4. How much energy comes from the environment? Is it positive or negative? How can the institution tap into (or protect against) that external energy?
5. What strategies can be used to increase awareness of problems or opportunities? What have been successful strategies in the past?

The *awareness* of the need to change must be accompanied by the *energy* required to change. Leaders of institutions in calm waters will have to generate the energy internally because the environment provides little impetus. When an institution is doing well, people are not challenged to do things differently. At the other extreme, institutions facing waterfalls may have too much anxiety to chart a reasonable course of action. Institutions may become paralyzed by the intensity of the situation and feel that nothing they can do will remedy the downward slide, or they may spend so much energy putting out the daily fires that they cannot think beyond the next impending crisis. In these instances, change leaders have to act as a buffer, protecting the institution from being bombarded by too much energy, driving it in all directions.

How Much Change Should Be Made?

Change leaders tend not to focus much of their time or energy on this question because they think the answer is predetermined by the

pressures they are facing. But they can make some deliberate decisions about the desired extent of change. For example, does a college change two general education requirements, or does it rethink course credits based on "seat time" and instead adopt learning-based outcomes? A clearly articulated answer leads to the exploration of another question: How can the campus get there? The answer also gives faculty, students, and staff a vision of the future and helps them know how the change will affect them personally.

Two basic elements of change–depth and pervasiveness–can be combined in different ways to describe varying magnitudes of change. The matrix on page 15 outlines four different types of institutional change–adjustment, isolated change, far-reaching change, and transformational change, ranging from low to high on the measures of depth and pervasiveness.*

Adjustments include a change or a series of changes that are modifications in a particular area. One might call this kind of change "tinkering." As Henderson and Clark (1990) suggest, changes of this nature are revising or revitalizing, and they occur when current designs or procedures are improved or extended, but they neither alter the basic ways of doing business nor have deep or

Answering the Question "Why Change?"

To overcome low awareness of a problem (in other words, to make self-evident the answer to the question "what does this institution need?"), leaders can use some of the following strategies to develop internal energy for change.

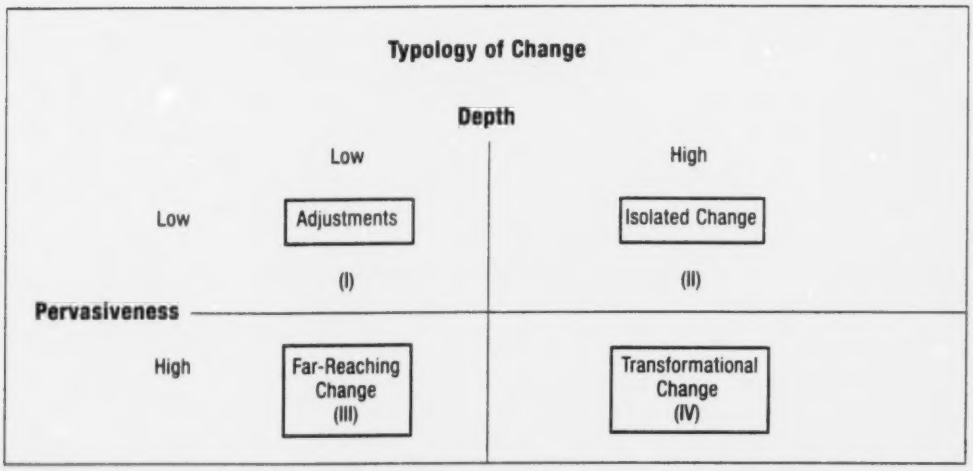
- *Promote the free flow of information.* Various constituencies on campus are more likely to understand the reasons for change if they have access to the same information upon which the decision to change was based.
- *Articulate consistent and repeated messages.* Change leaders should attempt to foster public discussions of the issues. Leaders can set the agenda through formal and informal events and activities, from an official presidential speech to a casual hallway conversation.
- *Share ownership of the problem.* Senior leaders can appoint an ad hoc committee to investigate the extent or the potential implications of the problem. The president of one ACE project institution charged an ad hoc faculty group with answering the question "is student retention a problem?" The report that followed was a call to the campus-wide community for action.
- *Create synergy between external and internal pressures for change.* An external force or internal pressure taken alone might not generate enough interest or momentum to induce campus stakeholders that change is necessary. But taken together, the confluence of internal and external pressures might help tell a convincing story. For example, one ACE project institution had to institute a performance-based funding system as a result of legislative action. At the same time, faculty members were concerned about a high need for remedial courses. Leaders coupled the external mandate with internal desires to create an environment in which campus members knew why change was occurring.
- *Identify a crisis in the making or ripen an issue.* In institutions where the sense of urgency is especially low, the case for change can be made by the actions of leaders (Heifetz, 1994; Kotter, 1995). For example, an issue could be identified in an institutional self-study and accreditation review. A legislative study could intensify attention to teaching. An enrollment change could spur more attentive consideration of curriculum changes.

*For an in-depth discussion of this model of types of change, see Eckel, P., B. Hill, and M. Green. 1998. *En Route to Transformation*, On Change: An Occasional Paper Series, No. 1. Washington, DC: American Council on Education.

Charting the Pressures of Change

Creating a grid may be helpful in understanding the pressures leading any institution to change. First, identify needed improvements (or problems). Then for each one, identify the source of pressure and its magnitude. Finally, consider the implications for action.

Needed Improvement	**Source of Pressure**	**Degree of Pressure** (Calm, currents, rapids, waterfall)	**Implications**



far-reaching effects. An example is the incorporation of computer simulations into introductory biology labs.

The second quadrant is *isolated change,* which is deep but limited to one unit or particular area and is not pervasive. For instance, a department might adopt a service mission and incorporate service into its promotion and tenure guidelines, help faculty incorporate service-learning into their classes, and provide extra money for faculty outreach projects. The change is deep within the unit but does not permeate the rest of the institution.

The third quadrant is *far-reaching change;* it is pervasive but does not affect the organization very deeply. An example might be the development of online submissions of reading lists to the bookstore. The change affects all faculty but not in profound ways.

The final quadrant is *transformational change*, which occurs when a change exhibits dimensions of **both depth and pervasiveness.** An example of transformational change is when an institution, as a whole, adopts a service mission. It then touches the whole institution in deep and meaningful ways.

On most campuses, change is a composite of these four types. A change initiative is likely to be dynamic–changing as the process unfolds–rather than remaining within one quadrant. What starts out as an isolated change in the single academic department, for example, may spill over into other departments or units. Even a small, seemingly innocuous change can become a broader type of change. For example, a conversation about a new e-mail system can quickly grow into efforts to implement technology-based pedagogy.

Change leaders should consider how deep and pervasive an impact they want to

Thinking Intentionally About Change

1. Who in the institution recognizes the change initiative as important? How does the answer inform efforts and strategies?
2. List the related change initiatives underway on campus (or in a school or department). To what extent are they synergistic? To what extent might they be? What steps might be taken to increase the impact of the various change initiatives through synergy?
3. Place the change initiative on the chart above (adjustment, isolated, far-reaching, transformational). Who would agree/disagree with this placement? What might the answer suggest about strategy?
4. Describe some important changes the institution has undertaken in the past. To what extent did deep and/or pervasive change occur? What were the circumstances? How do they compare to today's situation?

produce and choose change strategies to accomplish that goal. Not every change needs to transform an institution, but many colleges and universities unwisely attempt only small-scale alterations when their external and internal environments demand intentional transformational change. Still others try to change their institution in deep and broad ways when only isolated change is necessary.

Developing "Hindsight in Advance"

The obvious paradox of this expression, "hindsight in advance," offers a particular way to focus on the future. Even though the term "hindsight" (defined as a perception of an event after it has happened) is about the past, the second part of the phrase, "in advance," places the concept in the future and has valuable implications for effecting institutional change. The term, which was coined in a book on strategic change, means coupling the clearness of hindsight with the advantages of picturing the future. The quest for hindsight in advance "starts with what could be and works back to what must happen for that future to come about" (Hamel and Prahalad, 1994, p. 82).

Why use a phrase that tinkers with time and puts the past in the future? One of the keys to successful change is the ability to imagine and communicate a well-developed picture of the future. This strategy helps a campus articulate how much change is needed. It does not attempt to predict the future with great clarity, but rather to articulate possibilities and set the direction for what could be. By adopting the clarity that accompanies the notion of hindsight, leaders are better able to describe where the institution is going and avoid unintended consequences that are not desirable.

Hamel and Prahalad (1994) offer three useful techniques for creating hindsight in advance.

- *Ask "dumb" questions.* To start with a picture of the future, leaders can ask "dumb" questions that challenge fundamental assumptions. "Dumb" questions are the kinds of questions children are not afraid to ask. They are also the kinds of questions outsiders ask because they are grounded in different assumptions and offer unexpected perspectives.
- *Allow time for speculation.* To picture what could be, change leaders need to speculate.

Developing Hindsight in Advance

Trying to think creatively about what *could be* for the institution is a challenge because it involves freeing oneself from very real constraints. One way to begin is to ask individuals to imagine the future and what could be in their own departments or units. It may be easier to dream about the possibilities of the future from the familiar perspective of one's own work or unit. Linking together many smaller futures may help paint an institutional one.

Another method is to update concrete examples that capture today's institutional life. For example, admissions materials and viewbooks, faculty handbooks, and institutional web sites provide concrete expressions of the present. Go through these documents and identify things that could be different in the future. What would be different about them? Would future classrooms include a computer on each desk, or would there be no classrooms as now conceived? Would future faculty orientation agendas include sessions on teaching effectiveness or portfolio assessment? What types of information might future new faculty be given about promotion and tenure?

Once desirable possible futures have been described and articulated, the next phase is to design strategies to make the future come about. What needs to happen for the imagined futures to become realities? What changes must be made? How might the institution go about implementing those strategies?

Types of Involvement

The type of involvement by campus constituents will vary with their interest and available time and energy.

- *Change leaders* orchestrate the process.*
- *Contributors* affect change through participation in subcommittees or special task forces.
- *Resource* people provide information for others.
- *The informed* do not participate actively but stay up-to-date about what is occurring and why.
- *The uninformed* are not involved because they either don't know about the initiative or don't care about it.
- *The constructive skeptics* are the loyal opposition who add useful critiques and commentary.
- *The resisters* are invested, for a variety of reasons, in preserving the status quo. They may be active or passive resisters, with tactics ranging from foot dragging to sabotage.

*The role of leadership teams is discussed in detail in Chapter 4.

They have to give themselves permission to take intellectual risks, to make guesses based on hunches and incomplete data, to follow their intuition, and to speculate on what they *feel* about the future as well as what they *know* about it. Thinking speculatively may be a challenge for academics raised on methodological rigor and data analysis, but nevertheless it can lead to worthwhile results.

- *Bring others into the discussion.* In order to paint a picture of the future, change leaders must listen to diverse and unconventional voices. Determining what could be requires a "multiplicity of lenses." The description of what could be will be more complex, have more depth, and be more thorough and more creative when people are involved who have different perspectives and different experiences, work in different parts of the institution, and bring new language and different metaphors to the change process.

Who Will Be Involved?

Colleges and universities have historically operated through collaboration, shared governance, collegiality based on trust, open discussion, and healthy debate. Frequently they still do. But increasingly, higher education is struggling with tendencies to be professionalized, bureaucratized, and balkanized. The tension between these two models–the collegiate and the corporate–exacerbates the potential for conflict over who decides. In many institutions, the roles and responsibilities and the division of labor in decision making among governing boards, administrators,

Strategies for Involving People

When identifying people to become involved, consider what strategies have worked well in the past. How might individuals be identified and tapped to participate in the change effort?

- Involvement may be part of a college or university officer's job responsibilities.
- Change leaders may look for volunteers to serve on special task forces or committees because of particular interests or commitments to an issue. They may issue a broad invitation to encourage open participation.
- Involvement may occur through a special appointment. Leaders frequently appoint faculty and staff to sit on task forces because they are recognized as having some special content or experiential knowledge, because they are respected as campus opinion leaders, or because they have a reputation as being insightful and dedicated.
- Others may become involved because they are representatives of some key constituency on campus. For example, institutional protocol may dictate that important committees always are composed of members from the faculty senate, the faculty union, the student government, and the two largest colleges at the university.

and faculty are unclear, overlapping, and fragmenting. Debate abounds on many campuses about who sets policies, who implements them, who refines them, and who evaluates them.

Questions about who is involved and in what ways are important ones to answer. Ultimately, the success of a change initiative depends on persuasion, widespread agreement, and voluntary acceptance from many campus constituencies. Strategies to develop ownership must involve a broad range of faculty, staff, students, trustees, and community members to ensure that the content of a change agenda is widely meaningful.

Many faculty, administrators, and students want to be involved in—or at least be heard on—the change agenda, but not everyone wants the responsibility of being a change leader or even a key decision maker. To complicate matters, the way people want to be involved may differ over time. Change leaders have two important roles in ensuring participation in the process: (1) to ensure a credible means of identifying those who want to participate and (2) to create a legitimate way to involve those whose skills, temperament, intelligence, and capacities are important to the change initiative. Staffing committees and task forces is a challenge for change leaders because of the two issues noted above: The leaders must take a broad enough view of the kind of people who should be involved to accommodate volunteers and have enough perspicacity to realize the range of abilities needed to ensure the success of the initiative.

Individuals can become involved in a change process through many avenues. The box on page 18 illustrates several methods by which change leaders can involve others.

Leaders have two major tasks in bringing people into a change endeavor. First, they must understand and respect the institutional patterns of governance, culture, and norms that dictate who will be involved. For example, if a president appoints a small committee of representatives at an institution that usually invites institution-wide participation, campus constituencies may question the committee's legitimacy. At the same time, bypassing existing campus structures or creating ad hoc committees can often be useful. The challenge is to ensure legitimacy by adhering to campus processes and structures at the appropriate and expected time.

Second, leaders must look for ways to broaden the scope of participation so that new participants with fresh perspectives and new energy can offer their insights and advice. A change initiative can easily stall if the participants are the same familiar faces who are involved in every major endeavor, if proposed strategies are old and tired, or if those involved are overcommitted and cannot give the requisite attention. A special challenge may occur in small institutions or in those that employ large numbers of part-time faculty, because there may be simply too few full-time people to engage in the work of change. Widening participation to include more students, staff, board, and community members can help address the problem.

Deciding Whom to Involve and How

1. List who needs to be involved in the change initiative and compare that list to who is currently involved. What needs to be done to address the differences between these two lists?
2. Do patterns of governance, culture, and norms limit who is involved on campus? How? How can participation be broadened in legitimate ways?
3. In what ways can new participants be brought into the change initiative? As major change agents? Contributors? Resource people? Who should be tapped?

Chapter 3
Analyzing Institutional Culture

Each institution has its own particular culture, although it is shaped by the broader academic culture. Institutional culture determines what is important, what is acceptable, and how business gets done at a particular campus. Culture is shaped by commonly held beliefs, values, and underlying assumptions (Schein, 1992). Institutions that undertake significant change will be altering their culture, or at least those aspects of their culture that are no longer working well.

Culture both *acts on* and *is acted upon* in a change process. To make progress on a change initiative, an institution must operate paradoxically–that is, it must change its culture in ways that are congruent with its culture. If change strategies violate an institution's cultural norms and standards, they will be seen as illegitimate and inappropriate, and in the end, they will be ineffective. Changing a culture while working within it may seem implausible, but institutions succeed at cultural change when they are reflective about how their campus culture shapes institutional life and use this insight in crafting strategies to change it in the desired direction.

To change a culture, leaders must gain an outsider's perspective on their culture, for which they frequently need help (Schein, 1992). Newcomers have the advantage of bringing fresh eyes to the task. Some leaders find it helpful to invite sympathetic "outsiders" to describe the culture and to help cultural "insiders" grasp what is occurring. Heifetz (1994) recommends that leaders "stand on the balcony" to get a view of the patterns from above. Participants in the ACE project gained such perspectives through reciprocal learning from a network of institutions and systematic institutional reflection. As part of the project, institutions worked with outside process consultants and forged linkages with other institutions. At the same time, many hired their own consultants, participated in other national projects, brought in new campus leaders, and engaged in cross-institutional exchanges and visits. Intentional reflection on what participants learned

Assessing Institutional Culture

Imagine a consultant or campus visitor responding to the following questions. If this exercise is done by a leadership team, respond individually and compare answers. Then ask these same questions of someone new to the institution or an outsider familiar with it.

1. List ten adjectives that describe the campus culture.
2. Describe major subcultures within the institution. To what extent could the same adjectives be used to describe the subcultures? What other adjectives might members of different subcultures use?
3. What are the implications of these answers for the change agenda and for the process to accomplish it?

through these means provided them with useful insights on their institutional culture.

Defining and Observing Institutional Culture

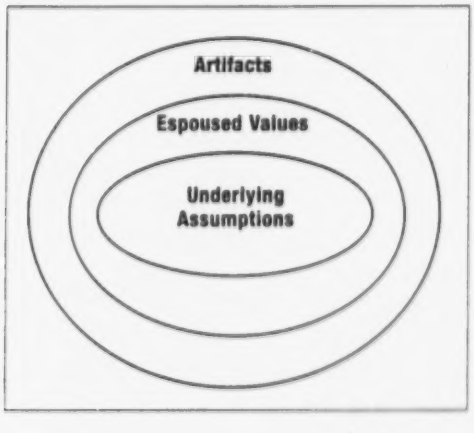
Culture is the "invisible glue" that holds institutions together by providing a common foundation and a shared interpretation and understanding of events and actions. Institution-wide patterns of perceiving, thinking, and feeling; shared understandings; collective assumptions; and common interpretive frameworks are the ingredients of institutional culture (Kuh and Whitt, 1988; Schein, 1992).

In complex organizations such as colleges and universities, institutional culture may have a common central culture determined by its history or contemporary operational style, but it also may be strongly influenced by a collection of subcultures (Bergquist, 1992). Subcultures develop as a result of organizational differentiation–that is, the development of different units or structures that have different purposes (Schein, 1992). For example, a research center at a university may have a different culture from an academic department at the same institution, or different cultures may exist in art and chemistry departments.

When first hired, one college president asked senior faculty members to describe the institution's culture. "I was told that they couldn't do it," he said, "but when I violated it, they would sure let me know." This example underscores the difficulty with understanding and working within one's own culture. Because we are immersed in the institution's culture, we often experience it as "the way things are" or "how we do things around here."

Understanding institutional culture is analogous to peeling away the many layers of an onion (Kuh and Whitt, 1988). The outer skins of the onion are the organization's *artifacts*, the middle layers the *espoused values*, and the inner core the *underlying assumptions* (Schein, 1992).

Artifacts are those visible products, activities, and processes that form the landscape



What Do Artifacts Reveal?

A first step toward understanding one's culture is to describe institutional artifacts (insider language, myths, stories, published mission, observable rituals, and ceremonies). This layer describes "what is happening."

1. Ask someone new to the institution or an outsider (such as someone from another institution or someone on an accreditation team) to describe what his or her first impressions were of the institution based on its policies, practices, or language regarding certain aspects of institutional life (i.e., teaching and learning, faculty life, the student experience). What was the basis for these impressions?
2. Ask colleagues to describe past decision-making processes or what they learned about past changes efforts that were successful or unsuccessful.
3. Describe the rituals, ceremonies, and events that are important to the institution. What values do they express?
4. Ask outsiders what their "read" is of given issues. What are the clues informing their opinions?
5. Which of these artifacts reflect the institution's stated values? Which do not?

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Articulating Institutional Values

Although understanding one's culture is a complicated process, an easy place to begin is by talking about the institution's values. Values explain "why we are doing what we do." Choose artifacts mentioned above and ask, "Why is this so?" Attempt to elicit value statements.

1. What does this institution (or department or school) value?
2. Are some values more important than others? Which ones? Who would agree with these rankings? Who would disagree?
3. Are there instances where the "espoused values" seem at odds with the underlying assumptions or beliefs?

of the institutional culture. Examples of artifacts include insiders' language and terminology, myths and stories, published mission statements, observable rituals and ceremonies, reward structures, and communication channels.

Espoused values are the articulated beliefs about what is "good," what "works," and what is "right." For example, an institution might value promoting lifelong learning or developing future global citizens, faculty-student contact outside of class, or active learning over formal classroom activities.

At the inner core of organizational culture are the *underlying assumptions.* These are the deepest ingrained assumptions that have become rarely questioned, taken-for-granted beliefs. They are the most difficult to identify because only cultural insiders can truly understand them, even if they cannot readily articulate them.

Examples include such statements as: acquiring knowledge is more important than transmitting it; community welfare is more important than individual welfare; if it's not invented here, it will not work in our culture; or some disciplines are more influential than others.

Uncovering Culture

The key to peeling away layers to reach the underlying assumptions–the core of an organization's culture–is to view the three layers in relation to one another. If the espoused values and the underlying assumptions are congruent, the assumptions remain inconspicuous (Schein, 1992). The result is a firm cultural and attitudinal base for action. For example, an institution awards financial aid to international students (artifact) because it is intentional about being globally oriented (espoused value). The inconspicuous underlying assumption might be that international students are so valuable to a global institution that scarce resources must be spent to ensure their presence.

Artifacts and behaviors are explained both by espoused values and by underlying assumptions, but when inconsistencies exist between espoused values and underlying assumptions, the assumptions come to light and understanding these assumptions becomes more critical. In instances where certain decisions do not affect behaviors or changes do not stick, the values and assumptions underlying the actions may be inconsistent with them. In the following examples, the underlying assumptions are congruent with the artifacts and explain them, but they are incongruent with the espoused values. In other words, artifacts (what people do) match assumptions (what people truly believe), but not espoused values (what people profess to believe). Exploring inconsistencies helps reveal the underlying assumptions that may need to change.

- Two of the junior faculty who were recognized with outstanding teaching awards (artifact) did not receive tenure even though teaching is said to be important (espoused value). The explanation lies in the underlying assumption–that teaching is not as significant as other factors in the tenure process.

- A faculty senate committee produces a report (artifact) calling for "enhanced academic excellence" (espoused value) and echoing the goals in the strategic plan (artifact). When "weak" departments and programs are slated for elimination, faculty across campus protest because closing academic departments conflicts with their shared view that the campus is a "family" and the family must stay together (underlying assumption).

Digging Deep: Uncovering Underlying Assumptions

The key to uncovering underlying assumptions is to determine if all the artifacts have been adequately explained by the espoused values, or if some of the artifacts are in conflict with the values stated.

1. What underlying assumptions support the change initiative?
2. Can conflicts between an espoused institutional value and the practices of various academic and/or administrative units or other artifacts be identified? How might these discrepancies be addressed?

Because underlying assumptions are so deeply a part of the organization, they are rarely identified or questioned. It is only when artifacts are not adequately explained by the espoused values, or when artifacts are in conflict with espoused values, that underlying assumptions become prominent. To put it another way, espoused values are publicly expressed values, or espoused theories, that we say guide our actions. Underlying assumptions, those that truly direct our actions, are really our theories-in-use (Argyris, 1993).

Changes that are not supported by underlying assumptions may have little impact and a short "shelf-life." These incongruent changes also may have lasting negative effects, as their failures become ingrained in institutional memory. The success in making change "stick" is determined by the match between the proposed change and the institution's underlying assumptions.

SECTION II
Developing Change Strategies

Succeeding at comprehensive change entails more than thinking and discussing; it requires action. The purpose of this section is to help create movement by focusing on strategies and structures that facilitate action. The next three chapters also include specific descriptions of strategies from institutions participating in the ACE Project on Leadership and Institutional Transformation that can be adapted for use on other campuses and can help institutions move from talk to action. Chapter 4 focuses on teams and teamwork as a central change strategy. It discusses team leadership, differentiates between committees and teams, and outlines how to create effective teams. The adage says, "Many hands make light work," but the work of institutional change is, in truth, heavy lifting. Many hands make the effort smoother and more likely to succeed.

For an institution to succeed with change, collaboration must extend beyond the confines of a particular team or group to include widespread institutional participation. Change is more likely to become institutionalized when it involves various stakeholders, when a wide range of people see themselves benefiting, and when a change makes sense to the campus. Chapter 5 provides suggested strategies for engaging the campus community and for continually widening the circle of participation.

The final chapter in this section presents strategies for building and sustaining momentum for change, specifically on deploying three types of resources: money, time, and attention. Because institutions live in a world of finite resources, change inevitably requires making difficult decisions among competing priorities. This chapter aims to help change leaders articulate their institution's priorities.

Chapter 4
Leading Change with Teams

Colleges and universities are particularly complicated organizations, caught in complex environments and shaped by the conflicting agendas of diverse stakeholders. Gone are the simple times of heroic leaders (if such times ever existed!), who set the institutional agenda and implemented it by the sheer strength of their position.

> *The ideal leader will be someone who knows how to find and bring together diverse minds—minds that reflect variety in their points of view, in their thinking processes, and in their question-asking and problem-solving strategies; minds that differ in their unique capacities as well as in their unique limitations. It is likely that we will stop thinking of leadership as the property or quality of just one person. We will begin to think of it in its collective form: leadership as occurring among and through a group of people who think and act together* (Bensimon and Neumann, 1993, pp. 2-3).

Leadership in such complex democratic organizations as colleges and universities tap the capacities of many different people. Collaborative leadership is based on the belief that a variety of people possess the know-how and creativity to solve complex problems and that successful action is grounded in a collective vision, shared ownership, and common values (Allen, Bordas, Hickman, Matusak, Sorenson, and Whitmire, 1998). Academic leadership is shared labor, not a solo act.

Team Leadership

Higher education has a long history of shared decision making and the use of committees. A key to formulating and implementing a change agenda is to bring together those individuals who enjoy credibility with their colleagues and have a nuanced understanding of the workings of the institution. Effectively structured teams provide the vehicle for tapping into collective talent. Collaborative change, in which actions are matched to intentions, requires defining intentions precisely so that everyone agrees about what they are trying to do and why a particular way of achieving that goal was chosen.

Team leadership, as demonstrated in the ACE project, differs from committee work and from the collegial model of academics governing through well-established relationships and shared norms. A team is a specifically formed group with a strategic purpose; it is "a small number of people with complementary skills who are committed to a common purpose, performance goals, and approach for which they hold themselves mutually accountable" (Katzenbach and Smith, 1994, p. 45). Although committees can periodically function as a team, most often they do not. The table on the following page highlights some differences between teams and committees.

Teams are dynamic and often are created for a short time. They serve a special purpose and exist only as long as the task at hand

requires. Their members may represent important groups, but are more likely to be selected for their special expertise or because they are recognized as campus leaders. Effective teams are usually small, since "large numbers of people...have trouble interacting constructively as a group, much less agreeing on actionable specifics. Ten people are far more likely than fifty to successfully work through their individual, functional, and hierarchical differences toward a common plan and hold themselves accountable for the results" (Katzenbach and Smith, 1994, pp. 45-46).

Some standing groups function (or should function) as a team, such as the president's cabinet or the executive committee of the board. A standing group is distinguished from a team by the reason it exists (to formulate strategy versus to report information or make regulatory decisions) and how it operates.

Adopting a team approach does not guarantee progress on institutional change; teamwork must be developed and teams sometimes fail (Katzenbach and Smith, 1994). On a busy campus, the simple task of getting even a small group of busy people together at any one time may be extremely difficult. Once together, teams need time to become a functioning unit, to discuss, to draw collective conclusions, and to reach decisions. Individual members must also be committed to the concept of teamwork, to the ground rules by which the team functions, and to the collective decisions of the group, even if personally they are not in complete agreement. Teams require a mind-set that is different from the one higher education tends to reward–independent thinking and solo accomplishments. To adopt a collaborative outlook, people may have to abandon many ingrained behaviors and assumptions about how things get done.

Functions of Change Teams

Teams play two primary roles in effecting institutional change. First, a "task team" undertakes a task (or a set of tasks) to fulfill a specific responsibility or charge. For example, it might review institutional promotion and tenure policies and make recommendations to align them more closely with the institutional mission. It might explore questions related to student retention problems or find ways to encourage faculty to adopt technology into their classrooms.

A second type of team is the "strategy team," whose work is to monitor the change process and oversee and coordinate the work of task teams (Schein, 1993). It may also test new ideas. The strategy team is often composed of the chairs of task teams and senior campus leaders. If members are chosen wisely, they will represent different aspects of the institution's culture and thus be a litmus test of how an innovation will be received. Ideas not acceptable to the team most likely will not be acceptable to the larger organization (Schein, 1993). Also, the strategy team can

	Committee	Team
Membership selection	By appointment (usually representative)	By talent, knowledge, ability
Charge	Everyday institutional business	Special or strategic purpose
Possible functions	Gatekeeping, policy approval, governance functions	New initiatives, change leadership, solution of specific problems
Accountability to produce	Low/Medium	High

The Advantages of Teams

Among the advantages of a team-driven change effort are the following.

- The purposely constructed combination of different skills, knowledge, and perspectives permits a more complex approach to analyzing issues and developing strategies.
- Involving different people with complementary strengths provides more energy than any single individual can muster.
- The many sets of eyes and the wider range of experiences help a team more easily recognize and understand the multiple effects of change on a range of stakeholders.
- Teams provide opportunities for members to build on the ideas of others, adding increased problem-solving abilities (Bensimon and Neumann, 1993).
- Teams are not as easily distracted as a single individual because the continued focus of team members can compensate for an individual's preoccupation.
- Teams increase accountability because their members must publicly disclose problems and successes, and because they have more people to monitor the work of others (Bensimon and Neumann, 1993).
- Teams provide a safe space to test new ideas, explore hunches, and challenge assumptions because individuals can say things without fear of reprisals or being wrong (Schein, 1993).
- Teams have an increased ability to agree on clearly defined goals.

become the repository of cumulative learning. As institutions work on implementing change, such a team will learn lessons about what works and what does not, and they can collect and disseminate the learning across campus.

Creating a Team

How the team is chosen is important for its function of dealing with institution-wide issues. Successful teams are composed of people who have the authority to get things done, knowledge of how the campus works, the skills needed to accomplish the tasks at hand, legitimacy and influence on campus, and the necessary time, energy, and interest.

The specific processes through which team members will be selected most likely will vary by institution because of campus norms and operating principles. For example, at some institutions, team members may be selected by presidential appointment. On others, where the norm is a caucus by the campus senate or an election by the faculty, this procedure might not be viewed as legitimate. Other institutions may identify team members by asking various units such as colleges, departments, or campus governing bodies for recommendations. Some institutions may identify team members through cabinet-level discussions or through predetermined campus policies. The selection process approaches the ideal if it can be viewed as legitimate and if it can identify people who are well suited for the tasks of dealing with institution-wide issues.

Getting the Team Underway

Because members of a newly formed team bring different operating assumptions about how to accomplish the task at hand, setting ground rules or expectations for working together is an important early step. These ground rules may concern procedures such as when and where the team will meet, the length

Assembling the Team

1. What is the purpose of the team?
2. What are the criteria for selecting team members (e.g., campus role, knowledge, political influence, skills, and abilities)?
3. Who should be members of the team? Why? Are they "the usual suspects"?
4. How many people should be on this team? What seems to be the optimal size? Why?
5. Who will chair this team? Why?

of each meeting, and attendance. The rules might cover how the team functions in meetings–for example, who will preside over the meeting, how items are placed on the agenda, how decisions are made (vote, consensus, agreement), or if a record should be kept (minutes or summary). Or the rules might be about work between meetings–for example, how members communicate, how work is circulated, or the amount of work expected between meetings. The ground rules can be set either formally or informally, but clear expectations agreed upon early in the process (and revisited as necessary) help prevent conflicts.

Sample team ground rules.

As part of launching its change initiative, Maricopa Community College in Arizona developed the following ground rules to guide its change leadership team.

- Treat meetings as a safe zone.
- Maintain confidentiality–no attribution.
- Ignore rank in the room.
- Everyone participates, no one dominates.
- Help the group stay on track.
- Have only one speaker; do not interrupt.
- Be an active/objective listener.
- Give freely of your experience.
- Keep an open mind.
- Agree to disagree only if it makes sense to do so.

Getting Started: Team Purpose and Function

Use the following questions as a starting point for the team.

- What is the team's purpose?
- What expectations do campus leaders have for the team?
- To whom does the team report?
- To whom and when should this team make reports or updates, and in what format?
- What resources (broadly defined) are available to the team?

Determining Ground Rules

Identify ground rules for the team. Include the following items for discussion:

- Confidentiality.
- Meeting times, places, and frequency.
- Process for placing items on the agenda.
- Discussion of agenda items and reaching group decisions.
- Inclusion of guests (when, whom, and by what kind of group approval).
- Responsibility for note taking.
- The need for minutes (formal, informal, etc.).

- Meet each other with a fresh perspective.
- Maintain a "view of the whole."
- Make decisions by consensus.
- Have fun!
- Ask invited guests to be governed by these ground rules.

Team members will vary in their familiarity with one another. Some team members will have worked together for many years, while others will not know one another. Early on, team members should get to know one another; become familiar with the skills, attributes, and knowledge each brings; and understand the experiences that shape one another's perspectives. Teams can flounder either because the members do not know one another well enough (resulting in posturing, difficulty in communicating, or lack of trust) or because they know one another too well (resulting in "group think"). Teams composed of people who do not know one another might spend time getting acquainted as an important first step. When team members know one another, they can talk about past experiences and what they have learned that might be helpful in facilitating the team's effort. To revitalize long-standing teams, one might add new members, reorganize to work in subteams, or go on a retreat with an outside facilitator.

Beginning a Group Process: Getting to Know One Another

Although some people scoff at "ice breakers" as corny or as a delay in getting on with the "real" business of a group, spending some time getting to know one another and articulating expectations and perspectives can be a good investment. A team's particular approach will depend on the degree to which people know one another and the culture of the institution. Some possible questions and gambits:

- What do you hope to contribute to the group? To learn from the group?
- Introduce each individual in the group, focusing on what each finds exciting about the collective task.
- Interview a team member for ten minutes and present him/her to the group.

Making Teams Successful

A successful team is the product of positive energy created by the interaction among team members; the whole is greater than the sum of its parts. Researchers Bensimon and Neumann (1993) found that successful leadership teams in colleges and universities (what they called "real teams") had members fulfilling the following roles:

- *Definer*–outlines the formal and informal agendas.
- *Analyst*–provides a deep examination of the prevailing issues by assessing the elements of the problem.
- *Interpreter*–translates how people outside the team are likely to understand and make sense of the issues at hand.
- *Critic*–offers redefinition, reanalysis, and reinterpretation of issues before the team; plays devil's advocate.
- *Synthesizer*–facilitates discussion and summarizes elements.
- *Disparity Monitor*–assesses how people outside the team are making sense of the team's actions.
- *Task Monitor*–removes obstacles for the team and facilitates the team's work in general.
- *Emotional Monitor*–establishes and maintains the human, personal, and emotional elements of the team.

In successful teams, a majority of these roles are fulfilled at all times. The roles also tend to rotate among members depending upon the situation or discussion; for example, the chair is not always the Definer, but on some occasions might be the Critic or the Task Monitor. Unsuccessful teams (what Bensimon and Neumann call "illusionary teams") have only a few of these roles filled. Their members play overlapping roles and are

A Checklist for Assessing Team Effectiveness

The following questions are intended to help teams function more effectively.

- Who defines the agenda? What happens when the chair is absent?
- To what extent does the team know how its actions are interpreted on campus?
- How does the team go about analyzing the problems at hand? How wide a range of opinions is generally expressed? Does someone play devil's advocate constructively?
- How are conflicts resolved? To what extent are diverse opinions aired and incorporated into decisions?
- To what extent do team members care about one another? Does the team talk about the experience of participating on this team?
- To what extent do different people play different roles?
- How effective is the team in communicating with campus groups about its work? On soliciting views from outside the team?

Role	Individuals Playing Roles	Topic/Context of Discussion
Definer Initiates discussion		
Analyst Examines issues related to the problem		
Interpreter Translates others' interpretations		
Critic Redefines issues and/or plays devil's advocate		
Synthesizer Finds connections, facilitates closure, and summarizes elements		
Disparity Monitor Assesses how others view the topic		
Task Monitor Keeps group on task		
Emotional Monitor Attends to emotional or personal needs of group members		

not able to play different roles. For example, teams composed predominantly of Critics rarely make progress because they are too busy pointing out flaws. "Real teams," because they have members fulfilling the various roles, are better able to understand the situation they are facing and make better decisions. They are able to analyze problems, seek out solutions, explore how others might perceive their actions, understand potential implications, keep on track, and make people feel valued.

Charting team roles.

To understand who plays which of the above roles, have one person chart the next three team meetings.

Symptoms of a Dysfunctional Team

Not all teams work well. The list of questions on the following page, adapted by Green and McDade (1991) from the work of Heany (1989), might be helpful in diagnosing team problems.

Recognizing Dysfunctional Teams

The following is a checklist to identify dysfunctional habits of teams.

- Do team members view their work as stand-alone tasks? Does work proceed like a relay race—one function must be complete before another begins?
- Can representatives of one functional area contribute to work underway in another area? Or is work completed independently and recounted at a meeting or in a formal report?
- Do problems of quality ignite a search for a guilty party?
- Are finger-pointing and raucous debates common? Do those with the loudest voices dominate meetings? How often do all members of the group speak at a meeting? Are there some members who never seem to speak?
- Are team members overly concerned with avoiding criticism?
- Are members especially conscious of their ranks and positions? How does that affect the team's ability to work together?
- How well-attended are team meetings? Are members often "too busy" to attend sessions, thus signaling a lack of interest in the group?
- How often is the "standard approach" offered as the solution to a problem? How often does a variation of the phrase "that's the way we always do it here" enter the conversation? To what extent are ideas dropped because they do not fit the standard approach? How freely do group members question the basic assumptions or challenge "sacred cows"?

Conclusion: Keeping a Team Productive

While the success of any particular team depends on a number of context-specific factors, leaders can encourage habits that successful teams exhibit. The more productive teams in the ACE project tended to:

- Meet regularly (e.g., every two weeks).
- Continue their efforts over the summer.
- Use public deadlines to get tasks accomplished.
- Make public their results, as well as some of their proceedings.
- Develop multiple avenues for communication with the campus.
- Constantly search for new contributors.
- Take stock of their efforts and reflect upon the strategies that worked and those that did not.

Staying On Course

Addressing some of the following questions will help a team stay on course.

1. What is the team's timetable for meeting? How often? When? What is necessary? Why?
2. How can public deadlines expedite progress?
3. How can new ideas and energy keep flowing into the efforts? How can team members keep from burning out over time?
4. What is the plan for communicating with campus constituents? How many different ways can be used to communicate effectively (and efficiently)?

Chapter 5
Engaging the Campus Community

The challenge for most institutions working to implement campus-wide change lies not in determining what to do, but rather in capturing the attention of those faculty and staff who must act to implement the change. Important constituents have to believe that action is required before they will willingly subscribe to the change. Furthermore, the change has to present a better future, rather than simply a different one, and must improve something considered important, such as the experiences of students or the professional lives of faculty and staff.

This chapter focuses on strategies that campus leaders can use to engage the campus community. These strategies–making a clear and compelling case, crafting a sensible and blame-free change agenda, engaging people via conversations, and making connections–are crucial to engaging the interest and support of the very people who will make the change happen.

Making a Clear and Compelling Case for Change

Change leaders must articulate and frame discussions that explore why a specific change is needed. At different times throughout the change process, different people–trustees, community members, faculty, staff, business leaders or legislators, alumni, and students–must have opportunities to talk together about why the change is or is not a positive step. Doubters and dissenters must have an opportunity to be heard early on because their voices will push the "true believers" to question and clarify their positions, and even to modify them. The critics' early involvement also lessens the chances of other critics jumping in later in the process and derailing it.

Making the case that a change is needed and beneficial in terms that speak both to institutional values and individual aspirations is not about marketing a particular idea or selling a set of solutions, but about engaging people in serious and sustained conversations. This dialogue must convince the campus community that there is a clear and compelling case for change and that doing things differently is not a matter of executing the arbitrary wishes of some leader, group of leaders, or pressure group, but rather that it furthers institutional goals.

There are different approaches to making a clear case for change. A *data-driven approach* relies on data collection and studies to assess the extent of a problem. Enrollment and retention numbers, student outcomes and placement data, and student satisfaction surveys and exit interviews paint a comprehensive picture of an issue. A *qualitative approach* links various factors–what most faculty experience as a series of discrete and well-known "irritations," as one provost calls them–to demonstrate that together they have a substantial negative impact on the institution. Raw information alone is rarely instructive. Rather, the stories that come from the information are what capture people's attention because stories tell people

what is important and valued, where the institution has been, and where it is heading.

■ WHAT WORKS

At the **University of Minnesota,** which was seeking to enhance the first-year experience of students, leaders had to redefine and create systemic structures to enrich the overall experience of first-time students by providing them with opportunities to find balance in their academic, co-curricular, and social lives. This work has created institutional change in how these leaders interact, collaborate, and integrate their services, knowledge, and expertise to serve students better.

They started by designing a new student orientation program, then broadened the project to include a comprehensive review of the first-year experience. A project team of students, staff, faculty, and administrators researched first-year experience programs at peer institutions, and then created benchmarks for the project. The president highlighted the effort in his state-of-the-university address, allocated funds for Freshman Seminars, supported the restructuring of new student orientation into a two-day overnight program, and worked closely with the Office for Student Development and Athletics to re-establish a New Student Convocation.

Making the case in clear and compelling ways often involves many different and concurrent strategies. Examples of formal approaches include the formation of a highly visible ad hoc task force to articulate the problem and publish a report, presentations to the faculty senate and other important bodies, and monthly columns in the campus newspaper or on a web site devoted to the change initiative. Ways of making the case implicitly include continuously engaging in informal conversations and having leaders publicly tie the change initiative to other pressing campus issues in public presentations and dialogues.

Whatever the strategies, members of the campus community must have convincing evidence that the status quo is not satisfactory, as well as opportunities to debate and explore why change is necessary and desirable; they cannot simply be told the way.

Missteps in making the case.

Conger (1998) provides a list of common mistakes people make when they try to persuade. The institutions in the ACE project were not immune to these dangers.

They attempt to make their case with an up-front hard sell. When people start by strongly stating their argument and then through persistence, logic, and exuberance try to sell their idea, any opposition has something tangible to grasp. "In other words, effective persuaders don't begin the process by giving their colleagues a clear target" (Conger, 1998, p. 87).

They resist compromise. Compromise is a central feature of persuasion. It is not a weakness and it has nothing to do with surrender. Compromises often result in better ideas and new, shared decisions. Persuasion includes give-and-take. An even more critical reason for leaders to avoid a hard sell is the importance of people finding their own definitions of the problem as well as their own solutions. If the campus community does not own the change, it is unlikely to happen.

They think the secret to persuasion lies solely in presenting great arguments. Sound arguments are important to changing people's minds, but they are only one component. "Other factors matter just as much, such as the persuader's credibility and his or her ability to create a proper, mutually beneficial frame for a position, connect on the right emotional level with an audience, and communicate through vivid language that

makes arguments come alive" (Conger, 1998, p. 87). Although colleges and universities profess to be rational, idea-driven places, good ideas do not always triumph on their merit. Human nature and politics are also important factors.

They assume persuasion is a one-shot effort. Persuasion occurs over time; it is a process. "Persuasion involves listening to people, testing a position, developing a new position that reflects input from the group, more testing, incorporating compromises, and then trying again" (Conger, 1998, p. 87). This process takes time.

Crafting a Change Agenda that Makes Sense and Does Not Assign Blame

For a change to succeed, it has to make sense to those who will implement it, and at the same time, it has to challenge values and practices that are no longer working. Well-articulated change agendas reinforce and reflect what is important to the institution and its sense of self while pushing the institutional "comfort zone." For example, an institution that has a history and culture of autonomous schools most likely will not successfully adopt a campus-wide template for assessment. The template may work well in some schools, where it fits their expectations and needs, but may not work elsewhere. Proposed changes that fall outside the boundaries of what makes sense will be met with resistance and skepticism.

Making the Case Convincingly

1. How can "the case" be made to the campus? What approaches worked well in the past?
2. Who will make the case? How? To what extent will the case use data? Will it use anecdotes?
3. Because making a rational case alone is not enough to ensure successful change, what other actions should be taken?

The change also should be framed in such a way that it does not assign blame. Change often seems threatening to people because they interpret the need for change as an indictment of their current or past knowledge, competence, or performance. Faculty and administrators invest significant time and energy in their institutions–for many, their whole professional lives. Thus, if they believe that the change effort implies shortcomings on their part, it is not surprising that individuals can become defensive or resistant to the change.

Change initiatives should be framed so that they do not make people feel attacked or diminished. For example, several institutions in the ACE project framed their change agendas for enhancing technology in the classroom around improving student learning.

Framing the Change Initiative

Change Initiative	Questions that Invite Reflection and Participation	Statements that Foreclose Possibilities and Imply Blame
Curricular Change	What should a graduate of this institution know and be able to do?	The core curriculum is out of date and does not reflect the needs of today's society or tomorrow's graduates.
Teaching with Technology	How can learning be improved? What can be accomplished through technology? Through other means?	In the next decade, old-fashioned techniques, such as lectures, will have to be eliminated.

Others framed similar agendas around changing faculty teaching methods. The latter met with resistance; the former did not because the focus was on helping students, not blaming professors.

One way to craft a change initiative is to articulate the pressing issues as a series of questions rather than jumping prematurely to "solutions." The question format presents issues in such a way that people want to be involved in constructing responses and devising solutions.

Institutional leaders will find that when questions are posed in open, non-threatening ways, they will elicit many different answers, implying multiple possible avenues of change. Encouraging conversations that forge workable solutions enables an institution to harness creativity as well as to develop ownership for the resulting change initiative.

Widening the Circle of Participation

A major challenge in achieving comprehensive change is developing an ever-widening circle of engagement with the issues and the process. Many change initiatives founder because they remain isolated; a few "true believers" or "early adopters" fail to engage a broad group of participants. Academic change requires grassroots support, which cannot be achieved by fiat or salesmanship. This does not mean that all will become supporters–or even remain neutral–but the aim is to engage as many as possible in conversations about the issues. The enthusiasts will come to the fore quickly. The critics need to be heard, but the key is to have sufficient support and respond positively to legitimate concerns so that the critics cannot paralyze the process.

There are many different ways to engage stakeholders and campus groups in conversations, and the methods chosen will vary depending institutional history and culture, as well as the topic at hand. The following list, though not exhaustive, gives several examples of strategies for engaging faculty, administrators, staff, students, and others.

Focused discussions.

Discussions focused on particular aspects of the change initiative may involve groups of ten to 30 individuals representing a cross-section of the campus. Faculty and administrators are typically included, and–depending on the campus culture, norms, and topic–students, board members, and alumni may also be invited. Participants are asked to speak and listen as citizens of the campus community, not as representatives of particular groups. Focused discussions can last from several hours or be held over several days. The participants may take part in the whole discussion, or they may flow in and out of the conversation. Focused dialogues are led by a facilitator who helps summarize major points, pushes those involved to think more deeply and build on each other's ideas, and avoids conversational dead-ends.

Articulating a Change Initiative

1. How is the change initiative framed and articulated? How might it be interpreted by various groups on and off campus?
2. Which stakeholders might feel targeted as responsible for the situation or think that the problem is their "fault"? How can such reactions be managed?
3. What solutions are proposed in the change initiative? How might the initiative be re-articulated so it presents questions, not solutions?

■ WHAT WORKS

Leaders at **Valencia Community College** in Florida engaged their campus in widespread discussion through a series of 13 focused dialogues in which nearly 300 faculty, staff, and students participated to help define and shape their change initiative. *Collaborating to Become*

a More Learning-Centered Institution. All of the comments from these dialogues were compiled and circulated college-wide, and all faculty and staff were asked to comment. A truly collaborative decision-making process was put into place, and major changes in student learning outcomes are being achieved.

At **Northeastern University** in Massachusetts, a number of cross-unit interest groups formed to bring faculty together from various departments. These interest groups enabled faculty to develop and refine the *Academic Common Experience*, a new approach to general education that defined common competencies to be integrated into the existing curricula of autonomous schools. Each interest group focused on an aspect of teaching related to one of the academic goals, such as information literacy, ethics, aesthetics, experiential education, and effective writing. In an institutional report as part of the ACE project, group leaders wrote, "Faculty involvement on a grassroots level has substantially helped to implement the *Academic Common Experience* [throughout] the curriculum, for it represents a push for 'buy-in' from the bottom-up."

Retreats.

Retreats can facilitate conversations among a broad range of people. Typically held off campus, retreats provide time away from daily worries to concentrate on larger issues. Retreats may be useful for launching a new change initiative, or revitalizing or modifying the direction of a current initiative. They offer opportunities to bring a diverse group of people together to explore issues from multiple perspectives and try to find new approaches. They may lay the groundwork for future efforts, or they may be used to take stock of what has occurred, why, and its effect.

Retreats may follow a range of formats, from highly structured agendas to nearly open ones that are created as an initial task of the participants. They provide valuable and rare opportunities for people to get to know one another in a relaxed atmosphere and build trust and personal relationships that help people work together when back on campus.

■ WHAT WORKS

The **University of Puerto Rico, Rio Piedras,** held two weekend retreats at strategic points in their change process. The retreats were structured to give their project team members "extended time and comfort to do their work," as they wrote in an ACE project report, and to facilitate communication among the various subgroups working on their change initiative, *Reconceptualizing the Baccalaureate Experience*.

Seminars.

Seminars are scholarly inquiries that focus on a specific issue or subtopic of the change initiative (e.g., how students learn or what constitutes global competence). They are useful for beginning a change initiative or giving a mature effort a revitalizing boost because they can present innovative (even controversial) ideas for participants' consideration. Participants may all read and discuss some piece of writing, while considering implications for their campus. Participants (or teams of participants) may produce a series of discussion papers for response by other seminar participants or by the campus community.

Because such seminars are a scholarly process, they draw on the participants' sophisticated skills and strengths, allow them to explore new questions in familiar ways, and lend intellectual substance to the change agenda. They may take place over an intensive weekend or occur throughout a semester, and they can be offered to groups of various sizes–for example, limited only to the change team or open to the entire campus community.

■ WHAT WORKS

The team leading the change efforts at **Portland State University** in Oregon organized a research and learning seminar to study "the current state of academic culture and the nature of the academic profession." Their seminar focused on the historical, sociological, and economic aspects of being a faculty member, specifically in the context of an urban university. Their common readings included current criticisms of higher education, as well as discussion papers written by team members.

Symposia.

Symposia are campus-wide meetings that revolve around a presentation or a collection of papers on a common topic. Some campuses organized events that included a prominent speaker and some type of facilitated conversations. The speakers provoked ideas and catalyzed thinking; the follow-up conversations, either in plenary sessions or smaller groups, allowed participants to further explore ideas and implications. Symposia may last a few hours or all day, depending on the purpose, the time available, and the speakers.

■ WHAT WORKS

Leaders at **Stephen F. Austin University** in Texas sponsored three campus-wide symposia focusing on issues related to their change agenda, *Revitalizing Faculty, Staff and Administration.* Each symposium featured a nationally prominent speaker. Following the speech, organizers held small group conversations to discuss ideas presented by the speaker. Summaries of the discussion were posted on the institution's web site to continue the dialogue on an electronic "posting page." Organizers wrote in one institutional report: "Colleagues began talking about change and the actions we needed to take at SFA. Individuals and groups began to step forward to spearhead new efforts."

Town meetings.

Town meetings allow the entire community to engage in a broad discussion and debate on a range of ideas designed to move the institution to a new level of understanding and consensus. Periodic town meetings may help leaders gauge the campus climate, hear feedback, and share ideas.

■ WHAT WORKS

Olivet College in Michigan held a campus-wide town meeting to craft its *Campus Compact,* a guiding statement for the college related to its institutional change initiative, *Education for Individual and Social Responsibility.* The day-long meeting, held in the gymnasium, allowed students, faculty, staff, and trustees to further define the institutional vision related to the change initiative and to "formulate a set of principles about what it means to be a responsible member of the college community."

Centenary College in Louisiana held three town meetings (open to students, trustees administrators, and faculty). The first meeting helped the campus reach consensus on the challenges facing the college and the nature of the change initiative, while the other two meetings furthered its change process, *Quality Teaching and Scholarship.*

Engaging people in conversations does not require formal, structured experiences. Useful exchanges can occur informally over dinner, through hallway conversations, or at regularly scheduled meetings.

Strategies to Engage the Campus		
Type of Conversation	**Length**	**Participants**
Focused Dialogues	Two hours to two days	Representatives (ten to 30) from various on-campus groups
Retreats	One to two days	Representatives (20 to 100) from on-campus and off-campus groups
Seminars	Several hours	Varies from small, targeted team to widely diverse group
Symposia	Several hours	Entire campus or a selected group
Town Meetings	Several hours	Entire campus

WHAT WORKS

At **Seton Hall University** in New Jersey, the project team used e-mail to communicate with the campus, distributing its meeting minutes and key project announcements to the entire faculty. "E-mail came in handy and made it easy to keep the entire university informed of the nature of the project and the progress we made.... We disseminated a detailed and often extensive summary of the deliberations of the project team over our campus-wide information system to everybody in the university willing to take an interest in the activities of the project team," team members noted in a report to ACE.

Change leaders can encourage participation in campus-wide conversations in many ways. A personal invitation to participate from the president or chief academic officer sends a message that the event is important. Follow-up reminders–by phone for smaller groups or via e-mail for larger groups–are helpful. Finally, running on skeletal staffs and using blocks of time when no classes are scheduled will enable as many people as possible to attend a campus-wide event.

Making Connections

Creating linkages among related activities leads to fresh conversations that generate new ideas and strengthen shared purposes. They help create and sustain energy needed for the change effort to continue and evolve.

Connections within the institution can link together a variety of small initiatives whose collective impact is more than the sum of the parts. Several departments may be working to improve teaching, or individual faculty across the institution may be pioneers with technology in the classroom. Linking these disparate efforts can provide additional energy and ideas. Helping groups become connected overcomes a sense of isolation, creates synergy, provides multiple opportunities

Conversations that Work

1. What types of conversations has the institution used in the past (focused dialogues, seminars, retreats, town meetings)? What were the effects of those processes?
2. Around what topics might conversations be conducted? Are they central to the desired objectives?
3. How might conversations be structured? What has to happen to make them successful?

for participation, and allows people to benefit from the trials and learning of others.

Institutions can also look outside themselves to create useful linkages. Energy created by external connections to other institutions, funding agencies, and national efforts provides an additional impetus to undertake change and helps sustain momentum for change currently underway.

Understanding how the issues of a particular institution are tied to those of higher education regionally, nationally, and internationally can help institutions overcome the effects of insularity that impede movement. Outside connections lead to new conversations that help develop new solutions to old problems, build camaraderie with fellow change leaders elsewhere, explore operating assumptions, and form neutral testing grounds for ideas. These connections help set important public deadlines and lend a degree of external accountability and legitimacy to an institution's change agenda.

■ WHAT WORKS

The **State University of New York at Geneseo,** under the umbrella of its change initiative, *Reforming the Undergraduate Curriculum,* presented some of the results of its change initiative at a National Science Foundation regional conference that, as leaders noted in an institutional report, "provided a springboard for focusing faculty attention on learning and technology."

Kent State University in Ohio built linkages among several campus activities related to its initiative to *Reconceptualize Faculty Roles and Rewards,* which in turn were tied to national and regional projects that stimulated one another. In one report, participants wrote, "The mutually reinforcing roles of the Kent Pew Roundtable, the Kent AAHE peer review of teaching teams, and the Kent, ACE, and Michigan State University/Pew project steering committees... have all contributed to the notable progress the university has made on its ACE project change issue." As a result, Kent State's revised tenure and promotion policies moved the concept of the teacher-scholar into practice.

Making Connections Explicit

1. What different initiatives currently are underway on campus that relate to the change agenda?
2. How can the institution become aware of other initiatives?
3. How can the team work with those other campus groups?
4. What are the best ways to approach those currently working on other initiatives?
5. How can connections be created outside the institution? What groups, consortia, or foundations are working in similar areas?

Conclusion: The Benefits of Conversations

Skeptics argue that higher education's culture and values of collegiality and widespread discussion are merely clever diversions from the hard work of change. They charge that faculty members would rather talk anything to death than act and that they are expert at stalling decisions through their insistence on involvement. Although every campus has its eloquent change resisters, conversations are not just a stalling strategy; they are critical to the change process. Conversations help broaden acceptance of new ideas or proposed changes, help refine ideas, and facilitate the implementation process.

In colleges and universities, effectively managed conversations are an important strategy for engaging a critical mass of support. Excessive conversations can become distractions, a form of "work avoidance," when they "divert attention from the issues on the table and diminish a sense of shared responsibility" (Heifetz, 1994, p. 38). Thus, leaders have to be careful that the conversations they

prompt lead to action and do not become an end in themselves.

A crucial step in implementing institution-wide change is expanding the group of supporters from the few (the president or administrative and faculty leaders) to the many (a critical mass of faculty, administrators, staff, students, and other interested groups). Through the process of informed and energetic conversation, a change permeates a campus by getting others excited about and moving toward change.

Conversations also help refine ideas. By continually being the focus of conversations, ideas become more clearly articulated and better conceptualized. Adding new participants to the conversations challenges assumptions and introduces new expertise and viewpoints. In the end, through engagement and collaborative conversations, ideas improve.

Chapter 6
Deploying Resources: Money, Time, and Attention

No institution ever has enough financial or human resources to do all it wants to do or all it believes it should do to enhance quality. While the concept of insufficient resources is a relative one, with some institutions having much greater constraints than others, the key for all is strategic deployment of time, money, and attention, and making choices among worthy competitors for scarce resources.

Intentional institutional change adds yet another complication to everyday resource constraints. Most often, change is an add-on, requiring that good campus citizens find the extra time to serve on committees and task forces, and that new financial resources be found to support new activities. But at some point, the add-on approach ceases to be useful. People become tired of the extra load and return to other priorities.

The institution does not have the luxury of unlimited funds. While start-up funds can get a new idea rolling and the novelty makes it interesting, ultimately the new initiative must be able to sustain attention and become part of the ongoing budget or it will die.

This section considers three types of resources: time, attention, and money. Each of these is central to the change process and must be intentionally and strategically directed to ensure the success of a change initiative.

Time as a Resource

Finding the time required to initiate and sustain a major change is difficult. Administrators and faculty lead very hectic professional lives. To make progress on change, campus leaders must find time to invest in new projects. And because most are unable to make the day 25 hours long, time has to be reallocated; something must give. An additional task for leaders is to convince other people to dedicate some of their precious time to the change initiative, which will happen only if it is connected in meaningful ways to their interests and becomes their personal priority.

Leaders either can find people who already hold the change effort as a high

Finding Time for Institutional Change

Restructuring time is difficult, as others try to commandeer calendars and influence priorities.

1. What percent of the change leaders' time is dedicated to the change initiative? Should it be more? Should it be less? What can be done to make the needed adjustments?
2. Who should be spending time working on this change effort? To what extent do they allot adequate time? What can be done to enable them to spend more (or less) time on the change initiative?
3. How long are people willing to undertake a leadership role in the change initiative and what might they have to give up during that time? What will they gain by participating?
4. What time can they devote to reading and thinking about the change issue (preferably out of the office)?
5. How flexible are their "top priorities"? How might they shift their commitments to spend more time on specific issues?

priority, or they can help people reconfigure their priorities so that individual and institutional priorities become aligned–a much more difficult challenge. An example of the former strategy is to identify faculty already "techno-savvy" to help lead an initiative on improving teaching and learning through technology.

Recruiting more reluctant people into the work of change is a more difficult challenge. How do change leaders make a particular issue or set of issues a priority for others? How can other people find the time necessary to think through the issues, gather the data, conduct campus conversations, and shepherd a change initiative? The following suggestions might be helpful.

Widening the Circle of Change Agents

Leaders need to help others find the requisite time to spend on institutional change. Consider the following strategies.

1. Provide release time or temporary support staff to people who are shouldering significant leadership responsibility for the change initiative.
2. Impose and respect deadlines so people do not feel trapped on a committee that never finishes its work.
3. Ensure broad participation so that a few individuals do not carry most of the burden. (This may be difficult in small institutions or those with high percentages of part-time faculty; consider adding non-academic staff to work groups.)
4. Send teams of people to regional or national conferences on the issues.
5. Conduct a retreat devoted solely to the change issue.
6. Devote regular time to the change agenda at every staff, department, or senate meeting.

Attention as a Resource

Campus leaders focus people's attention on change by constantly speaking about the issues, asking for periodic assessments of progress, and providing updates in committee reports or in the campus newspaper. They also provide moral and tangible support for initiatives tied to the change agenda.

Focusing attention serves several purposes. First, it demonstrates the importance of an issue, claiming it as an institutional priority worthy of time and resources. Second, when leaders focus attention, they help define a common reality. Birnbaum (1992) notes that different people on campus have different "takes" on the same events; they see different actors at different moments in time, and draw different conclusions. "The function of leadership is to give the organizational audience a more pointed and consistent view" of what is occurring (Birnbaum, 1992, p. 13). Third, focusing attention helps people tackle tough problems that require sustained effort (Heifetz, 1994). Leaders keep campus attention centered so that the institution is not tempted to avoid the difficult work of change, but instead honestly confronts what is not working.

■ WHAT WORKS

To emphasize the importance of their initiative, four participants from the project team at **Kent State University** in Ohio participated in a panel discussion on *Abbreviated Responsibility-Centered Management*, a portion of their change initiative, at an American Association for Higher Education Conference on Faculty Roles and Rewards. In turn, they planned on-campus presentations for the president's cabinet, deans, and additional faculty from units participating in the initial phase of the project. Following these presentations, a number of changes in budgetary management shifted the institution toward greater unit responsibility.

To help capture attention, leaders at **Stephen F. Austin University** published weekly guest editorials in the local community

Focusing Attention on What Matters

1. How can campus attention be focused on the change initiative? What vehicles (on or off campus) might be useful? What strategies have worked in the past to capture campus attention?
2. What distractions can be curtailed that may tempt people to avoid the work of change?

newspaper about their change initiative, *Revitalizing Students, Faculty and Staff.* They also used a web page to communicate with the campus by periodically posting new ideas and asking for comments.

Money as a Resource

Change has inevitable monetary costs; new programs, new equipment, and additional staff require hard dollars. There are real costs associated with supporting meetings, release time, and summer stipends. Institutional change efforts also typically require investment in course and program development, support services, and faculty development.

Monetary support for change can come from new monies or reallocation of existing resources. New monies have the advantage of providing external validation of the change initiative without stressing the existing budget. The obvious disadvantage is that gifts and grants are usually finite in duration, and eventually hard money must support the effort. Many institutions in the ACE project used external funding to jump-start an effort. Some had a series of foundation grants to support various aspects of the initiative; one used some of its quasi-endowment funds to invest in the change agenda. For many institutions, small grants from discretionary funds held by presidents and provosts went a long way in providing incentives, supporting meetings, and generally affirming the importance of the task at hand.

The impact of small amounts of money cannot be overstated. Small summer stipends of $2,000 helped faculty produce new courses and use technology. Trips to national meetings helped energize faculty and connect them with other change agents and new ideas. These modest investments reaped big benefits because they sent the strong message that faculty time has value.

Ultimately, the values and priorities of an institution are embedded in its budget. Sometimes, reworking a program may incur few added costs; the pieces are simply rearranged. Other times, change requires reallocating funds. An important indicator of the durability of the change is the extent to which it becomes reflected in the budget of the institution.

■ WHAT WORKS

At **Seton Hall University,** the president set aside funds for requests stemming from the initiatives pursued as part of the change effort. Some of the money was reallocated from within the divisions and some came from the quasi-endowment spending approved by the board. For example, the English Department was given the resources to hire five new full-time and four part-time faculty when the department decided to restructure freshman writing as part of its initiative to *Transform the Learning Experience of the First 18 Months.* Another element of the institution's change initiative was a summer faculty development program that provided new technology and summer stipends for participants.

In their final project report, change leaders at **Ball State University** in Indiana, who worked on *Defining, Refining, and Implementing the Teacher-Scholar Model Through Technology,* wrote: "We believe it was the way the resources were used as much as the fact that they were available that helped shape change. Initially, we invested in our

faculty. There was no top-down agenda for how technology should be used, how departments should change curricula, or what technology should be purchased. The initial funds were invested in departments, in workshops, in technology that the faculty selected, and in an infrastructure that could support a wide variety of technology initiatives. Faculty who showed interest were supported, but none was directed to do anything. As a result, a wide variety of initiatives were going on at the same time in a wide variety of disciplines."

Investing Institutional Resources Wisely

1. From what new sources might money be found to support the change initiative? How might the institution learn about potential funding sources?
2. How might money be reallocated internally? What are the implications of reallocation? Who might protest against this change?

SECTION III
Marking Progress

This section provides an organizing framework for understanding the extent to which institutions are making progress and what evidence they have of their progress. It discusses identifying and collecting evidence of institutional change and helps leaders answer questions such as: How much change has occurred? What strategies were effective? What have been the outcomes, intended and unintended, of the change efforts? Although it is the final chapter of this primer, attention to the question of evidence should not be put off until the end; it should be integrated into other institutional change strategies from the beginning.

Chapter 7
Providing Evidence of Change

Finding evidence is challenging because many types of change are difficult to track. Higher education's results are often hard to measure, as are intangible changes such as shifts in campus climate or culture. The foremost goal of any institutional change initiative is improvement, whether the target for improvement is student learning, campus climate, research productivity, or retention. Improvement can be described as the positive difference between the starting point and later points in time. The evidence should be directed to answering three questions:

- How much improvement has occurred? What is different on campus?
- What strategies have produced the improvements?
- What have been the consequences, intended and unintended, of the changes?

What Is Evidence?

Evidence of progress highlights successes achieved. The ability to identify and celebrate success acknowledges hard work in a visible, public way, which in turn provides additional momentum for change. Looking for evidence of change keeps the change initiative on the collective institutional screen. Most importantly, marking progress also adds accountability to an initiative by pushing change leaders to document what has happened in concrete terms.

Evidence includes both quantitative and qualitative information–sometimes data, at other times stories. It is not always a product of highly sophisticated research methodologies; while certain types of evidence may be that precise, evidence of improvement is broader and includes "softer" measures. The three guiding questions stated at the beginning of this chapter suggest three types of evidence.

First, change leaders need to understand the *extent to which their efforts are meeting intended goals.* Where are they making progress and where have they stalled? For example, if an institution is attempting to become more learner-focused, how does it determine progress? What constitutes a useful range of indicators (e.g., improved grades, higher retention, greater student satisfaction)? In what areas are its efforts successful? Is the institution making headway in certain disciplines or specific types of courses?

Second, change leaders should search for evidence that *helps differentiate between successful and unsuccessful strategies* in producing the desired change. For example, to what extent are faculty development workshops helping participants think differently about student learning? How well are these programs leading to changes in syllabi and classroom pedagogies? How well have faculty retreats worked? Have they been well attended? What effect have they had on behavior within the classroom? Does informally encouraging faculty conversations through brown bag lunches work better than formal, large-scale programs?

The third type of evidence focuses on *the consequences of the efforts.* Although change leaders must look for evidence of success in achieving their stated goals, they should also look for secondary effects–both positive and negative unintended consequences–that occur as a result of a change. For example, one campus's efforts to build learning communities that fostered student learning and intellectual intensity created an unexpected negative consequence. The project, which included small classes and a living-learning environment for academically talented students, created enclaves of students who rarely interacted with others outside their group. Faculty noted that the resulting isolation caused students to develop a false sense of academic accomplishment, grow less self-reliant, and become less intellectually curious. So although students in this program had high retention rates and were extremely satisfied with their experience (positive indicators of success), the effect of their participation on intellectual growth was mixed.

Areas of Change: Where to Look for Evidence

The specific types of evidence an institution seeks will be tied to the substantive goals of its change initiative. Improving teaching and learning requires a different kind of evidence from an initiative concerned with creating an entrepreneurial institution. Evidence most likely includes information in six broad areas–institutional activities, outcomes, processes, structures, experiences, and language and symbols.

General Framework for Determining Evidence

	Progress	Success of Strategies	Results
Activities	What activities are different?	What strategies helped change activities?	What are the results of these changed activities?
Outcomes	What changes have occurred in select areas (e.g., retention, graduation rates, learning outcomes, student attitudes)?	What strategies led to changes in key outcomes?	What effect have the changed outcomes created?
Processes	What processes are different?	What strategies were effective in altering processes?	What are the consequences of these changed processes? Which were intentional? Which were unintentional?
Structures	In what ways have defined roles, relationships, or institutional structures changed?	What strategies were used successfully to bring this about?	What are the effects and implications of these changes for daily work and long-term institutional health?
Experiences	In what ways has the institutional climate changed?	Through what strategies was climate changed?	What are the effects of the new climate on faculty, students, staff, and administrators? On external constituencies?
Language and Symbols	In what ways has language about the topic of the initiative changed?	What strategies worked and did not work to change this language?	What are the implications of these changes?

- *Activities* include instruction (what is taught and how); external linkages (e.g., K-12, business, community); internal linkages (new interdisciplinary courses, partnerships between different units); research projects; and co-curricular activities.
- *Outcomes* include graduation rates, grades, student satisfaction and behaviors, retention rates, student learning outcomes, research productivity, and faculty service projects.
- *Processes* include reward systems, hiring, promotion and tenure, budget and resource allocation, and institutional decision making and governance.
- *Structures* include organizational charts and the nature of roles and relationships among various groups or individuals (e.g., faculty, committees, governing bodies, students, and administrators).
- *Experiences* include institutional mood and climate, as well as feelings about one's role and the institution itself.
- *Language and symbols* include how things are talked about and what things are talked about, in both public statements about what is important and private conversations among members of the community.

Change agents might use the six areas of change and the three types of evidence as a framework for creating an evidence-collection strategy, as the table on the previous page illustrates. Because the framework is comprehensive, all of the cells may not be useful to all institutions and to all change initiatives. This rubric aims to highlight the range of information that might be collected; constructing such a chart is a useful exercise for the change effort on individual campuses.

The Challenges of Collecting Evidence

Collecting evidence should clearly be understood throughout the campus as a formative process–a step in making mid-course corrections, should they prove necessary. If assessment is not an ongoing process, collecting evidence is difficult. Because results are not always immediately discernible and cause-and-effect relationships are often unclear, leaders may find it difficult to determine the extent to which the change has occurred, to identify what strategies brought about any particular change, and to measure the effects of the change on the institution.

Setting the Course for Collecting Evidence

1. Will evidence be collected to assess accountability, motivation, or effective strategies?
2. Based upon the change initiative, what evidence of change would support the purposes described above?
3. What negative consequences might arise unintentionally?

Also, change leaders may be resistant to assessing their progress, possibly for the following reasons:

- *Assessing* progress may be a diversion from *making* progress because time is finite, and spending time on assessing progress may mean spending less time engaging the campus or making the case for why this effort is important.
- Change leaders may have more to lose than gain from determining the impact of their efforts, especially early in the process, because the effects of strategies are often far easier to determine only after some time has passed, rather than when changes are in progress. If the results are less than expected, leaders may become discouraged and begin to question the investment of their limited time and energy in the effort.
- Opponents might see a poor assessment as justification for opposition to the change. Findings of limited progress would provide them with ammunition for their negativism.

- Individuals dislike being the bearers of bad news, especially if it must be delivered to authority figures. If the evidence paints a less than positive picture, change leaders may consciously or unconsciously distort or omit some of it, giving a false sense of accomplishment.

In spite of these challenges, which occur when assessment is understood to be primarily or exclusively summative instead of formative, it is possible to find evidence of change to help in the continuous process of shaping the agenda. With proper forethought and planning, institutions can make finding evidence an integral part of their change strategies. The next section details six strategies to make assessment an integral component of a successful change effort.

Strategies for Collecting Evidence

The following strategies will help change leaders collect evidence as part of their change efforts.

Start when framing the issues.

For many institutions, collecting evidence and assessing progress are afterthoughts, done most energetically when the board of trustees, state legislators, or accreditation agencies press for it. The process of collecting and using evidence should not be thought of as an add-on, but as one of the many elements central to a successful change strategy, starting at the very beginning of the change efforts.

Collecting evidence to determine "what things are like now" may include hard data or anecdotes that help define a problem (or opportunity) and its magnitude. For example, what are the indicators of how well students are learning? To what extent does the campus embrace diversity? This evidence is useful in making the case for change, and it also provides a baseline against which to measure progress.

Use all types of information.

Evidence, both qualitative and quantitative, should address three different questions: How much positive change has occurred? What strategies are working? What are the results? For example, stories provide important illustrations, help explain complex and ambiguous situations, and add a chronological element, connecting information in a temporal sequence (Weick, 1995). Numerical data, on the other hand, are concrete, carry legitimacy within the academy and to external groups, and lend themselves to comparison, both over time and across units. In addition, the collection of data helps avoid "proof by anecdote." Strategies that use both types of evidence will present a more complete picture of what has happened.

Shape change strategies to respond to the evidence collected.

To collect evidence effectively and incorporate it into ongoing strategies, change leaders should view it as connected with the change initiative and as a continuing part of the overall effort. They should gather information on what efforts are working and how well, and use that information in a feedback loop to make adjustments along the way. For example, collecting evidence on the pervasiveness and depth of technology use in the classroom may take several forms at different times. A formal survey might be sent to faculty at the end of the academic term, but an approach that is more supportive of the change process might include informal discussions with chairs throughout the year. Surveys might be more appropriate when institutional attention needs to focus on teaching and technology, such as before a campus-wide workshop on the topic or when a major committee is about to undertake a related initiative. Linking the particular kind of evidence collection with other strategies reinforces the institutional focus and enhances the potential impact of the other tactics.

Use existing sources of data.
Most institutions routinely collect information through the institutional research office or the academic and student affairs offices that can be useful evidence for measuring change and its results. Information used in institutional reports to the board of trustees, a state coordinating body, or the federal government should also be available and may be extremely useful. Rather than reinventing the wheel, use evidence that is easily obtained and already collected to guide change efforts. The same offices that regularly collect and/or disseminate information also may be willing to add one or two questions to an annual campus survey or to report their findings in a slightly different format.

On some campuses, data may be closely held or not easily accessed. Change leaders need to recognize who has the information, to assess their willingness to share it, and to determine how best to allay any fears that the information might be used in a harmful way.

Search for disconfirming evidence.
Because of the potential for errors, omissions in evidence, and the tendency to find what we are looking for, change leaders should search for evidence that disconfirms rather than confirms expected outcomes or cause-and-effect relationships (Birnbaum, 1988). Change agents can easily fall into a trap of overestimating success by "screening out" negative information. Instead, change leaders should encourage constructive dissent and "reward those with the courage to publicly announce that the emperor's new clothes are not what they should be" (Birnbaum, 1988, p. 217).

Make leaps of intuition.
Even before all the evidence is in, trends can usually be discerned. Rather than waiting to develop a method to collect everything, it might be beneficial to "state it as so."

Strategies for Finding Evidence

1. What evidence shows that there is/was a problem or opportunity? How might that information become baseline data?
2. How might efforts to collect information reinforce strategies to effect change?
3. Where might one find needed information? What is the best way to obtain that data?
4. What offices collect information that is relevant to the change agenda? What types of information do they collect? How might it be used?
5. How might one work with institutional data collection offices to collect specific information that will support the change agenda?

Because the purpose of collecting evidence is to make progress on change and to account for results, there may be times to celebrate success before all the data are in. But this action should be taken carefully, because false statements can seriously hurt leaders' legitimacy and credibility. Sometimes–when it is difficult to find cause-and-effect relationships, when momentum is needed, or when recognition is called for–successes can be recorded and celebrated before all the evidence is in hand.

Conclusion: Evidence as Learning

Knowing where the institution began and where it is at a later point in time are crucial to advancing a change agenda and to acquiring the learning necessary to change and change again. Learning cannot occur without the feedback provided by evidence. But because evidence is difficult to collect and decipher and because the relationships between actions and outcomes are ambiguous, the act of intentionally collecting evidence does not ensure accurate learning. Birnbaum (1988, p. 215) offers the following questions to help leaders explore the accuracy

EPILOGUE
The Change Changes

Just as there is no definitive end point to the change process on campus, this primer does not have a conclusion. In fact, we found that after three years, only one-third of the institutions involved in the Project on Leadership and Institutional Change were still working on the same issue. One-third of them were working on related change issues, and another third were focusing on an entirely new change initiative. Even allowing for the potentially distorting effects of participation in a national project, these shifts in institutional agendas are significant. In some cases, the shifts occurred because of changes in the external environments, while in others changes in institutional leadership and priorities seemed more influential.

The experiences of the institutions that participated in the project from 1996 to 1999 illustrate the extent to which "the change changes." Their experiences also reveal how fluid, and often how idiosyncratic, the change process is. Each campus had its own rhythm, often characterized by steady and slow progress punctuated by bursts of activity. Campuses frequently had to turn their attention to crises, or to pressing issues that they could never have anticipated just a few months earlier. No journey of change followed a predictable course, which highlights how profoundly human is the undertaking of institutional change.

Given the wide range of institutional types in the project, the diversity of the issues they addressed, and the common features of the change processes that they crafted, we are confident that any institution that wants to undertake change can find something of value in this primer. Whether looking for language to make a case, actions to take, or pitfalls to avoid, institutions that want to take change seriously can learn from those institutions that have already blazed the trail.

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Annotated List of Suggested Readings

A great deal has been written in the management literature about leadership and organizational change; the higher education literature on these topics (and especially on leadership) is less vast, but still considerable. The list below represents a selection of our favorite readings, useful not for the answers they provide, but for the questions they provoke. Some readings provide new ways of thinking and challenge assumptions about how change occurs and the leadership needed to bring change about. We hope that readers will find this selection a useful point of departure and will use it to construct their own reading lists.

1. Birnbaum, R. 1988. *How Colleges Work: The Cybernetics of Academic Organization and Leadership.* San Francisco: Jossey-Bass.
Birnbaum offers five models of how colleges function: collegial, bureaucratic, political, anarchical, and cybernetic. The different perspectives are useful for understanding the variations in the ways institutions behave. The book also explores issues of management and leadership within the various organizational patterns.

2. Collins, J.C., and J.I. Porras. 1996. "Building Your Company's Vision." *Harvard Business Review* (September/October): 65-77.
This article provides a framework for thinking about institutional core values, articulating them, and setting goals consistent with them. The authors conducted a large-scale study of exemplary companies that have been leaders in their fields for well over 80 years. Although the findings refer to business-sector organizations, the framework presented is easily adaptable to higher education. One of the institutions in the ACE project found this approach extremely useful and adopted its ideas as a centerpiece of its change efforts.

3. Drucker, P.F. 1994. "The Theory of the Business." *Harvard Business Review* (September/October): 95-104.
Drucker challenges organizational leaders to rethink assumptions that constrain the organization. Although the language is based in business and needs some translation for higher education, the ideas are thought provoking for college and university leaders.

4. Gersick, C. 1991. "Revolutionary Change Theories: A Multilevel Exploration of the Punctuated Equilibrium Paradigm." *Academy of Management Review* 16(1): 10-36.
This scholarly paper synthesizes several streams of research on revolutionary change to create a framework for understanding the change process. Through the development and articulation of the concept of punctuated equilibrium, the author explores how change is triggered, how organizations function during periods of transition, and how change concludes.

5. Guskin, A.E. 1996. "Facing the Future: The Change Process in Restructuring Universities." *Change* (July/August): 27–37.
This former college president makes the case for comprehensive institutional change, which he labels "restructuring." He identifies some basic issues in bringing about change, including getting started, resistance to change, and the importance of leadership. He outlines actions for leaders to take to implement institutional change.

6. Hahn, R. 1995. "Getting Serious About Presidential Leadership: Our Collective Responsibility." *Change* (September/October): 13–19.
The president of Johnson State College in Vermont explores and challenges higher education's longing for the "ideal president." Rather than hold a president accountable for changing an organization and saving it from demise, Hahn argues for a more realistic view of presidential leadership and for a collective responsibility for leadership success.

7. Heifetz, R.A. 1995. *Leadership Without Easy Answers.* Cambridge, Massachusetts: Harvard University Press.
This book offers an alternative framework for viewing leadership through the concept of "adaptive work." Heifetz, director of the Leadership Education Project at the Kennedy School of Government at Harvard University, argues that leaders, rather than providing answers, should frame questions that promote adaptive work by mobilizing people to face difficult choices and to act. Adaptive work resolves those conflicts that create stasis in organizations. Heifetz differentiates between adaptive problems–those that call for new and unknown solutions–and technical problems–those that can be addressed with previously successful solutions. Because many organizational problems require solutions that are not part of the organizational repertoire, learning is essential to bringing about change.

8. Kennedy, D. 1994. "Making Choices in the Research University." In *The Research University in a Time of Discontent*, ed. J.R. Cole, E.G. Barber, and S.R. Graubard. Baltimore: The Johns Hopkins University Press.
The former president of Stanford University describes the challenges institutions face when they try to change strategically in a coordinated effort initiated by the central administration. He discusses the importance of and need for faculty and administrators to create new ways of working together and identifies the challenges in doing so.

9. Kotter, J.P. 1995. "Leading Change: Why Transformation Efforts Fail." *Harvard Business Review* (March/April): 59–67.
Kotter, a professor at the Harvard Business School, identifies eight errors and their corresponding remedies for bringing about institutional transformation. His concise and straightforward thesis offers strategies for institutional change leaders to consider as they embark on change.

10. Kotter, J.P., and L.A. Schlesinger. 1979. "Choosing Strategies for Change." *Harvard Business Review* (March/April): 106–114.
This article identifies various causes for resistance to change and provides a typology of change strategies to overcome resistance in light of different contexts facing organizational leaders. The authors identify some of the advantages and drawbacks of various change strategies in six different situations.

11. Lindquist, J. 1978. *Strategies for Change.* Berkeley, California: Pacific Soundings Press.
This book, although more than 30 years old, offers insights about the change process that are applicable to today's institutions. The book first summarizes the literature in what

was then called "planned change." It then presents seven institutional case studies and concludes with a section that synthesizes the learning across these cases and connects it to prior research. The book concludes with a model of "adaptive development" and discusses the roles change agents must undertake to bring about adaptive change.

12. Mintzberg, H. 1987. "Crafting Strategy." *Harvard Business Review* (July/August): 66-75.
Mintzberg challenges common notions of institutional strategy formation and argues that institutional strategy and direction can come from sources other than formal planning. He offers a counter-intuitive approach that describes well the nature of higher education direction-setting. This article is useful for understanding the different ways colleges and universities might initiate institutional change and the importance of the institution's history in shaping its future.

13. Mintzberg, H. 1999. "Managing Quietly." *Leader to Leader* (Spring): 24-30.
This article argues that senior administrative leadership alone does not make for successful organizations, although our cultural bias suggests that this is so. Mintzberg challenges some of the thinking on effective leadership currently in vogue and offers an alternative– "managing quietly," a thought-provoking alternative to much of what we think we know about leadership.

14. O'Toole, J. 1995. *Leading Change: Overcoming the Ideology of Comfort and the Tyranny of Custom.* San Francisco: Jossey-Bass.
O'Toole identifies and addresses three questions about leading change: What are the causes of resistance to change? How can leaders effectively and morally overcome that resistance? Why is the dominant philosophy about leadership neither an effective nor a moral guide for people who wish to lead change? His responses challenge the common wisdom about the obstacles to change and the type of moral leadership needed to bring about change.

15. Salipante, P.F., and K. Golden-Biddle. 1995. "Managing Traditionality and Strategic Change in Nonprofit Organizations." *Nonprofit Management and Leadership* 6(1): 3-20.
This paper argues that change in the nonprofit sector is and should be different from change in the corporate sector and that adopting corporate ideas outright may not be beneficial. The authors argue that traditionality is frequently more important than transformation in nonprofit organizations, and they discuss the implications of both continuity and change in this context.

16. Schein, E.H. 1992. *Organizational Culture and Leadership* (2nd ed.). San Francisco: Jossey-Bass.
This book presents a helpful model for understanding organizational culture and the role of leadership in creating, maintaining, and changing organizations and their cultures. Strategies to bring about meaningful institutional change are influenced by organizational culture; similarly, transformational change brings about changes in organizational culture.

17. Schein, E.H. 1993. "How Can Organizations Learn Faster? The Challenge of Entering the Green Room." *Sloan Management Review* 34 (2): 85-92.
Schein discusses the importance of organizational learning, outlines the psychological challenges to organizational learning, and offers strategies for facilitating learning, in the service of change. By focusing on the anxiety associated with doing things differently, the author discusses an important, yet little explored, factor in institutional change.

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Participating Institutions and their Change Initiatives

Ball State University (IN)
1996 Defining, Refining, and Implementing the Teacher-Scholar Model
1999 Redefining Relationships with the Larger Community

Bowie State University (MD)
1996 Creating a Transcending University
1999 Shared Governance, Outcomes Assessment, and Merit-Based Performance Pay

California State Polytechnic University, Pomona
1996 Developing an Integrated Campus Strategy for Enhancing Learning and Teaching with Technology
1999 Developing an Integrated Campus Strategy for Enhancing Learning and Teaching with Technology

Centenary College of Louisiana
1996 Quality Teaching and Scholarship
1999 Quality Teaching and Scholarship

The City College of the City University of New York
1996 Maximizing Student Success
1999 Maximizing Student Success

College of DuPage (IL)
1996 Creating an Environment of Change
1999 A Transformative Planning Process

El Paso Community College District (TX)
1996 Managing Change in a System of Shared Governance
1999 The Pathway to the Future/ El Paso al Futuro

Kent State University (OH)
1996 Reconceptualizing Faculty Roles and Rewards
1999 Re-engaging in Undergraduate Education/Creating New Budgeting Mechanisms

Knox College (IL)
1996 Faculty Roles and Rewards
1999 Faculty Workplace Issues

Maricopa County Community College District (AZ)
1996 Achieving the Desired Learning Paradigm
1999 Learning Maricopa.edu

Michigan State University
1996 Enhancing the Intensity of the Academic Experience
1999 Enhancing the Intensity of the Academic Environment

Mills College (CA)
1996 Strengthening Two Faces of Its Institutional Identity
1999 Strengthening the Interrelationship Between Undergraduate Women's Education and Specialized Graduate Programs for Women and Men

Northeastern University (MA)
1996 Academic Common Experience: Overhauling the Curriculum; Achieving General Education Through the Major
1999 Call to Action on Cooperative Education

Olivet College (MI)
1996 Creating a Climate of Social Responsibility
1999 Creating a Student Culture of Social Responsibility

Portland State University (OR)
1996 Developing Faculty for the Urban University of the 21st Century
1999 Developing Faculty for the Urban University of the 21st Century

Seton Hall University (NJ)
1996 Transforming the Learning Environment
1999 Transforming the Learning Environment

State University of New York College at Geneseo
1996 Reforming the Undergraduate Curriculum
1999 Review, Debate, and Revision of General Education Requirements

Stephen F. Austin University (TX)
1996 Revitalizing Faculty, Staff and Administration
1999 Revitalizing Students, Faculty and Staff

University of Arizona
1996 Department Heads: Catalysts for Building Academic Community
1999 Department Heads: Catalysts for Building Academic Community

University of Hartford (CT)
1996 Planning and Managing Technology

University of Massachusetts, Boston
1996 Improving Teaching and Learning and Student Services Through Assessment at the Department Level
1999 Assessing Student Outcomes

University of Minnesota
1996 Improving the Collegiate Experience for First-Year Students
1999 Improving the Collegiate Experience for First-Year Students

University of Puerto Rico, Rio Piedras
1996 Reconceptualizing the Baccalaureate Degree
1999 Reconceptualizing the Baccalaureate Degree

University of Wisconsin–La Crosse
1996 Building Community: An Institutional Approach to Academic Excellence

Valencia Community College (FL)
1996 Becoming a Learning-Centered College: Improving Learning by Transforming Core College Processes
1999 Becoming a Learning-Centered College: Improving Learning by Collaborating to Transform Core College Processes

Wellesley College (MA)
1996 Improving Intellectual Life at the College
1999 Improving Intellectual Life at the College

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